



Transit & Bus Committee Meeting

November 2016

Committee Members

F. Ferrer, Committee Chairman

A. Albert

D. Jones

S. Metzger

C. Moerdler

J. Molloy

J. Samuelsen

P. Trottenberg

V. Vanterpool

P. Ward

New York City Transit and Bus Committee Meeting

**2 Broadway - 20th Floor Board Room
New York, NY 10004**

**Monday, 11/14/2016
10:30 AM - 12:00 PM ET**

1. PUBLIC COMMENT PERIOD

2. APPROVAL OF MINUTES – OCTOBER 26, 2016

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3. COMMITTEE WORK PLAN

Committee Work Plan - Page 9

4. REVIEW OF NYCT AND MTA BUS COMMITTEE CHARTER

NYCT and MTA Bus Committee Charter - Page 17

5. OPERATIONS PERFORMANCE SUMMARY

a. September Operations Report

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6. FINANCIAL REPORTS

a. September NYCT Financial & Ridership Report

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b. September SIR Financial & Ridership Report

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c. September MTA Bus Financial & Ridership Report

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d. Capital Program Status Report

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7. PROCUREMENTS

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a. Non-Competitive Actions

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b. Competitive Actions

NYCT, MTACC Competitive Actions - Page 114

c. Ratifications

NYCT, MTACC Ratifications - Page 124

8. SERVICE CHANGES

a. NYCT Subway Schedule Changes - Effective Spring 2017

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9. SPECIAL REPORTS & PRESENTATIONS

a. MetroCard Report

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10. STANDARD FOLLOW-UP REPORTS

a. Elevator & Escalator Service Report, 3rd Quarter, 2016

Elevators and Escalators Report, 3rd Quarter, 2016 - Page 141

b. Transit Adjudication Bureau Report, 3rd Quarter, 2016

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11. MTACC REPORT

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Minutes of Regular Meeting
Committee on Operations of the MTA New York City Transit Authority, Manhattan and
Bronx Surface Transit Operating Authority,
Staten Island Rapid Transit Operating Authority,
Capital Construction Company and Bus Company
October 26, 2016

Meeting Held at:
Metropolitan Transportation Authority
Two Broadway
New York, New York 10004
10:00 AM

The following Members were present:

Hon. Fernando Ferrer, Committee Chair
Hon. Andrew Albert
Hon. David R. Jones
Hon. Susan G. Metzger
Hon. Charles G. Moerdler
Hon. John J. Molloy
Hon. John Samuelson
Hon. Polly Trottenberg
Hon. Veronica Vanterpool


The following Member was absent:
Hon. Peter Ward


Also present were:

Ira Greenberg and James E. Vitiello, Board Members
Veronique Hakim, President, New York City Transit
Peter Cafiero, Chief, Operations Planning
Michael Chubak, Chief Financial Officer
Joseph Fox, Chief, NYPD Transit Bureau
Wynton Habersham, Senior Vice President, Subways
James Henly, Vice President & General Counsel, Law
Michael Horodniceanu, President, MTA Capital Construction
Darryl Irick, President, MTA Bus Company
Cheryl Kennedy, Vice President, Office of System Safety
Owen J. Monaghan, Vice President, Security
Tim Mulligan, Executive Vice President
John O'Grady, Senior Vice President, CPM
Stephen Plochochi, Vice President, Materiel

I. Chair Ferrer opened the meeting.

II. Public Speakers

Omar Vera thanked Members Albert and Vanterpool for their efforts on behalf of transit riders, and thanked the Committee for restoring the  line. He also expressed his support for the rerouting of the Q59 bus and commented that, in his opinion, the Second Avenue Subway should not be opened without the 72nd station being operational.

Jason Anthony Pineiro also thanked Members Albert and Vanterpool for their efforts on behalf of transit riders, thanked the Committee for restoring the  line, and expressed his support for the Q59 bus reroute.

Murray Bodin commented that the Q70 bus to LaGuardia Airport is being negatively impacted by the Port Authority's failure to place traffic lines on the ground which are necessary to guide bus drivers, and asked the Committee to use its influence to ensure that this situation is corrected.


III. Minutes and Work Plan

Upon motion duly made and seconded, the Committee approved the minutes of the September 26, 2016 meeting of the MTA New York City Transit Authority, Manhattan and Bronx Surface Transit Operating Authority, Staten Island Rapid Transit Operating Authority, Capital Construction Company and Bus Company. There were no changes to the Work Plan.

President Hakim welcomed Tim Mulligan to the MTA, advising the Committee of his appointment to the position of Executive Vice President and noting his background with the New York City Office of the Comptroller, the New York City Office of Management and Budget and the Human Resources Administration. President Hakim also announced the appointment of Michael Chubak to the position of Chief Financial Officer.

IV. Agenda Items

SVP Habersham reported to the Committee on the Department of Subways' operating performance, and both Chair Ferrer and SVP Habersham thanked Station Cleaner Darren Johnson and Platform Controller Warren Cox for their extraordinary efforts on the job, noting that Mr. Johnson chased an individual accused of assault and held the assailant until Transit Bureau officers arrived, and also extinguished a fire by a station entrance, and that Mr. Cox averted a potential suicide, as well as assisted authorities in the capture of an individual involved in illegal activity.

In response to a question from Member Albert, Mr. Cafiero informed the Committee that the  line will still service the 49th street station.

President Irick reported to the Committee on bus operating performance for both NYCT and MTA Bus, noting, in response to Member Greenberg's prior request, that wait assessment on

the LaGuardia Link Q70 SBS is at 84.7% through the first two weeks in October, up from 74.7% in September prior to the SBS launch.

In response to a question from Member Moerdler, President Irick explained that efforts are underway to address factors that affect the incidence of bus collisions and agreed to look into the role played by UPS trucks in creating hazardous traffic conditions.

In response to questions from Member Vanterpool, President Irick noted that the selection of routes for implementing the pilot program for audible pedestrian signals is based primarily on the number of pedestrian incidents that have been reported, and President Irick and Stephen Vidal, VP of Transportation, Safety & Training, advised the Committee that Vision Zero will be featured in bus operator training beyond 2017.

Member Greenberg requested information on the locations where rear end bus collisions are occurring.

VP Kennedy presented the Safety Report.

In response to a question from Member Albert, VP Kennedy stated that subway customer accident statistics include incidents where customers are hit by trains.

Member Samuelson informed the Committee that signal helper Monique Braithwaite was seriously injured after coming into contact with the third rail, calling to Members' attention the important and dangerous work done by transit workers.

In response to a question from Member Moerdler, VP Kennedy advised the Committee that the Stations Department inspects stair treads and handrails at outdoor stations.

Chief Fox presented the NYPD Transit Bureau statistics.

Member Moerdler reiterated the importance of productive collaboration between the NYPD, NYC District Attorneys and Court officers to address the unique issue of transit crime and its effect on public safety. Mr. Moerdler suggested that a separate transit unit be established in the courts of one borough on a trial basis.

B. Financial Reports

CFO Chubak reported to the Committee on NYCT's finances.

In response to a question from Member Greenberg regarding a downward trend in ridership, CFO Chubak noted that there is not always a clear correlation between employment levels and subway ridership, that ridership is holding up better in peak periods, and that similar trends have emerged in other cities. He advised the Committee that the reasons for the trend continue to be evaluated.

In response to a request from Member Moerdler, CFO Chubak agreed to provide the Committee with data on: (1) the extent to which bus and subway ridership is made up of students; (2) the extent to which student ridership has increased or decreased over the past few years and (3) the relationship between student ridership and their access to student MetroCards.

In response to a question from Member Jones, CFO Chubak agreed to evaluate whether there is a difference in ridership levels between single ride users and pass holders, noting that subway ridership tends to be less elastic with regard to price than bus ridership.

President Irick reported to the Committee on MTA Bus' finances.

SVP O'Grady presented Members with the Capital Program Status report.

C. Procurements

VP Plochochi introduced the NYCT, MTA CC and MTA Bus Company procurement agendas, which consisted of 15 actions totaling \$66.5 million in expenditures, highlighting two procurement action items included in this month's agenda: (1) a modification in the estimated amount of \$40.3 million to extend the Automatic Fare Collection Indefinite Quantity contract awarded to Cubic Transportation Systems Incorporated for six years, from November 1, 2016 to October 31, 2022; and (2) a modification extending the contract terms for five professional and technical staffing firms by one year, increasing the funding by an estimated \$20 million dollars.

Motions were duly made and seconded to approve the procurement action items.

In response to a question from Member Moerdler, VP Plochochi noted that the new fare payment system currently being solicited not only takes into consideration the actual capital expenditures, but also provides for competitive pricing that will last for the useful life of the system. He added that the contract requires both "open standards" and the disclosure of "application programming interfaces," which allow third parties to interface with "back office" software, thereby preserving NYCT's ability to solicit further competition going forward.

In response to a question from Member Albert, VP Plochochi advised that the MetroCard system will run in parallel with the new fare payment system until 2022.

In response to a question from Member Metzger, VP Plochochi agreed to provide milestones for the implementation of the new fare payment system.

In response to a question from Member Moerdler, VP Plochochi noted that an RFP has already been issued for a system-wide new fare payment system.

In response to a question from Member Vanterpool, VP Plochochi noted that the support and maintenance package for the Cubic contract was not negotiated in 2005 since the software

products covered by the contract evolve, making negotiation at one set date very difficult, and since NYCT needed to retain flexibility in addressing agency needs.

In response to a question from Member Greenberg regarding health benefits contracts, VP Plochochi noted that due to a number of factors it was currently an opportune time to conduct an RFP for health benefits and to transition accordingly.

NYCT's non-competitive procurement requiring a majority vote (Schedule H in the Agenda) and its competitive procurements requiring a majority vote (Schedule H in the Agenda) were approved and forwarded to the full Board for consideration.

MTA CC's competitive procurement requiring a majority vote (Schedule I in the Agenda) was also approved and forwarded to the full Board for consideration.

Details of the above items are set forth in staff summaries, copies of which are on file with the records of this meeting.

V. Service Changes

Chief Cafiero informed the Committee that Q59 westbound buses in Brooklyn will be rerouted to a more direct path, traveling north on Union Avenue, and then west on Metropolitan Avenue, reducing travel times for customers.

VI. Special Reports and Presentations

President Hakim presented the MetroCard Report as well as a report on the MTA's Homeless Outreach efforts, and noted that materials for the 2017 Preliminary Budgets for NYCT, SIR and MTA Bus had been distributed previously.

VII. MTA CC Project Report

President Horodniceanu reported on the status of the Cortlandt Street station and the 7 line projects.

VIII. Upon motion duly made and seconded, the meeting of the Committee was adjourned.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read 'Bettina Quintas', written over a horizontal line.

Bettina Quintas
Assistant Secretary



2016 Transit & Bus Committee Work Plan

I. RECURRING AGENDA ITEMS

Responsibility

Approval of Minutes	Committee Chair & Members
NYC Transit Committee Work Plan	Committee Chair &
Members Operations Performance Summary Presentation (including Financial/Ridership, Capital Program Status, Crime & Safety)	NYC Transit President
Procurements	Materiel
MTACC Projects Report	MTACC
MetroCard Report	AFC Program Mgmt & Sales
Service Changes (if any)	Operations Planning
Tariff Changes (if any)	Management & Budget
Capital Budget Modifications (if any)	Capital Planning & Budget
Action Items (if any)	As Listed

II. SPECIFIC AGENDA ITEMS

Responsibility

November 2016

Charter for Transit Committee	Law
Elevator & Escalator Service Report, 3 rd Qtr, 2016	Subways
Transit Adjudication Bureau Report, 3 rd Qtr, 2016	Law

December 2016

NYCT 2017 Adopted Budget/Financial Plan 2017-2020	Management & Budget
SIR 2017 Adopted Budget/Financial Plan 2017-2020	Management & Budget
MTA Bus 2017 Adopted Budget/Financial Plan 2017-2020	Management & Budget
NYCT & MTA Bus EEO & Diversity Report, 3 rd Qtr, 2016	EEO & Human Resources

January 2017

Approval of 2017 NYC Transit Committee Work Plan	Committee Chair & Members
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February 2017

Preliminary Review of NYC Transit 2016 Operating Results	Management & Budget
Preliminary Review of SIR 2016 Operating Results	Management & Budget
Preliminary Review of MTA Bus 2016 Operating Results	Management & Budget
NYC Transit Adopted Budget/Financial Plan 2017-2020	Management & Budget
SIR Adopted Budget/Financial Plan 2017-2020	Management & Budget
MTA Bus Adopted Budget/Financial Plan 2017-2020	Management & Budget
Service Quality Indicators (including PES)	Operations Planning
ADA Compliance Report	Capital Program Management
Elevator & Escalator Service Report	Subways
Transit Adjudication Bureau Report	Law
NYCT & MTA Bus EEO & Diversity Report, 2016 Yr End Rpt	EEO & Human Resources

II. SPECIFIC AGENDA ITEMS (con't)

Responsibility

March 2017

No Items

April 2017

Final Review of NYC Transit 2016 Operating Results

Final Review of SIR 2016 Operating Results

Final Review of MTA Bus 2016 Operating Results

Management & Budget

Management & Budget

Management & Budget

May 2017

Transit Adjudication Bureau Report, 1st Qtr, 2017

Elevator & Escalator Service Report, 1st Qtr, 2017

NYCT & MTA Bus EEO & Diversity Report, 1st Qtr, 2017

Law

Subways

EEO & Human Resources

June 2017

No Items

July 2017

No Items

August 2017

No Meetings Held

September 2017

Public comment/Committee review of budget

2017 NYC Transit Mid-Year Forecast Monthly Allocation

2017 SIR Mid-Year Forecast Monthly Allocation

2017 MTA Bus Mid-Year Forecast Monthly Allocation

2018 Preliminary NYC Transit Budget

2018 Preliminary SIR Budget

2018 Preliminary MTA Bus Budget

Service Quality Indicators (including PES & MTA Bus PES)

Elevator & Escalator Service Report, 2nd Qtr, 2017

Transit Adjudication Bureau Report, 2nd Qtr, 2017

NYCT & MTA Bus EEO & Diversity Report, 2nd Qtr, 2017

Management & Budget

Management & Budget

Management & Budget

Management & Budget

Management & Budget

Management & Budget

Operations Planning

Subways

Law

EEO & Human Resources

October 2017

Public Comment/Committee review of budget

Homeless Outreach Report

2018 Preliminary NYC Transit Budget

2018 Preliminary SIR Budget

2018 Preliminary MTA Bus Budget

MTA

Management & Budget

Management & Budget

Management & Budget



2016 Transit & Bus Committee Work Plan

Detailed Summary

I. RECURRING

Approval of Minutes

An official record of proceedings which occurred during the previous month's Committee meeting.

NYC Transit Work Plan

A monthly update of any edits and/or changes in the work plan.

Operations Performance Summary

Summary presentation on the performance of Subway Service, including a discussion on Safety, Finance and Ridership and Capital Program Plan achievements. Information includes discussion on key indicators such as Subway MDBF, On-Time Performance, Subway accident rates; and Capital Plan awards, design starts and completions.

Procurements

List of procurement action items requiring Board approval and items for Committee and Board information. The Non-Competitive items will be first, followed by the Competitive items and then the Ratifications. The list will include items that need a 2/3 vote of the Board for approval.

MTACC Projects Report

Monthly Status Report on each construction project and contract managed by MTA Capital Construction.

MetroCard Report

Status Report on progress related to the implementation of the MetroCard fare collection system. Report provides information on MetroCard market share, the Reduced Fare Program, MetroCard sales initiatives and the Balance Protection Program.

Service Changes

Service proposals presented for Committee information and for Board approval, when required. Proposals outline various subway service initiatives.

Tariff Changes

Proposals presented to the Board for approval of changes affecting NYC Transit fare policy structure.

Capital Budget Modifications

Proposals presented to the Board for approval of changes to NYC Transit's 5-Year Capital Program.

Action Items

Staff summary documents presented to the Board for approval of items affecting business standards and practices.

II. SPECIFIC AGENDA ITEMS (con't)

NOVEMBER 2016

Charter for Transit Committee

Once annually, the NYC Transit Committee will be presented with the Committee Charter and will be asked to formally adopt it for use.

Elevator & Escalator Service Report, 3rd Qtr, 2016

Quarterly report to the Committee on system wide reliability and availability goal for elevators and escalators throughout the subway system.

Transit Adjudication Bureau Report, 3rd Qtr, 2016

Quarterly report to the Committee on Transit Adjudication Bureau financial and operating indicators including collection activities and data on revenue and expenses.

DECEMBER 2016

NYCT 2017 Adopted Budget/Financial Plan 2017-2020

NYC Transit will present its revised 2017-2020 Financial Plan. This plan will reflect the 2017 Adopted Budget and an updated Financial Plan for 2017-2020 reflecting the out-year impact of any changes incorporated into the 2017 Adopted Budget. The documents will also include a monthly allocation of planned expenditures for 2017 by category.

SIR 2017 Adopted Budget/Financial Plan 2017-2020

NYC Transit will present SIR's revised 2017-2020 Financial Plan. This plan will reflect the 2017 Adopted Budget and an updated Financial Plan for 2017-2020 reflecting the out-year impact of any changes incorporated into the 2017 Adopted Budget. The documents will also include a monthly allocation of planned expenditures for 2017 by category.

MTA Bus 2017 Adopted Budget/Financial Plan 2017-2020

MTA Bus will present its revised 2017-2020 Financial Plan. This plan will reflect the 2017 Adopted Budget and an updated Financial Plan for 2017-2020 reflecting the out-year impact of any changes incorporated into the 2017 Adopted Budget. The documents will also include a monthly allocation of planned expenditures for 2017 by category.

EEO & Diversity Report, 3rd Qtr, 2016

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to NYCT's and MTA Bus' Equal Employment Opportunity and Diversity efforts.

JANUARY 2017

Approval of Committee Work Plan

The Committee will be provided with the work plan for 2017 and will be asked to approve its use for the year.

II. SPECIFIC AGENDA ITEMS (con't)

FEBRUARY 2017

Preliminary Review of NYC Transit's 2016 Operating Results

NYC Transit will present a brief review of its 2016 Budget results.

Preliminary Review of SIR 2016 Operating Results

NYC Transit will present a brief review of SIR's 2016 Budget results.

Preliminary Review of MTA Bus 2016 Operating Results

MTA Bus will present a brief review of its 2016 Budget results.

Adopted Budget/Financial Plan 2017-2020

NYC Transit will present its revised 2017-2020 Financial Plan. This plan will reflect the 2017 Adopted Budget and an updated Financial Plan for 2017-2020 reflecting the out-year impact of any changes incorporated into the 2016 Adopted Budget. The documents will also include a monthly allocation of planned expenditures for 2017 by category.

SIR Adopted Budget/Financial Plan 2017-2020

NYC Transit will present SIR's revised 2017-2020 Financial Plan. This plan will reflect the 2017 Adopted Budget and an updated Financial Plan for 2017-2020 reflecting the out-year impact of any changes incorporated into the 2016 Adopted Budget. The documents will also include a monthly allocation of planned expenditures for 2017 by category.

MTA Bus Adopted Budget/Financial Plan 2017-2020

MTA Bus will present its revised 2017-2020 Financial Plan. This plan will reflect the 2017 Adopted Budget and an updated Financial Plan for 2017-2020 reflecting the out-year impact of any changes incorporated into the 2016 Adopted Budget. The documents will also include a monthly allocation of planned expenditures for 2017 by category.

Service Quality Indicators / PES Report

Bi-annual report which presents subway and bus service indicators (Wait Assessment) and NYC Transit and MTA Bus Passenger Environment Survey results, which measures subway and bus cleanliness, customer information and operations.

ADA Compliance Report

The annual update to the NYC Transit Committee on the status of compliance with the Americans with Disabilities Act (ADA) at New York City Transit. The report summarizes activities for compliance including, rehabilitation of key stations and ADA requirements in bus and subway transportation.

Elevator & Escalator Service Report

Quarterly report to the Committee on system wide reliability and availability goal for elevators and escalators throughout the subway system.

Transit Adjudication Bureau Report

Quarterly report to the Committee on Transit Adjudication Bureau financial and operating indicators including collection activities and data on revenue and expenses.

II. SPECIFIC AGENDA ITEMS (con't)

EEO & Diversity Report- 2016 Year-End Report

A detailed year-end 2016 report to the committee providing data on key EEO and Human Resources indicators relating to NYCT's and MTA Bus' Equal Employment Opportunity and Diversity efforts.

MARCH 2017

No Agenda Items

APRIL 2017

Final Review of NYC Transit 2016 Operating Results

NYC Transit will review the prior year's budget results and their implications for current and future budget performance will be presented to the Committee.

Final Review of SIR 2016 Operating Results

NYC Transit will review SIR's prior year's budget results and their implications for current and future budget performance will be presented to the Committee.

Final Review of MTA Bus 2016 Operating Results

MTA Bus will review its prior year's budget results and their implications for current and future budget performance will be presented to the Committee.

MAY 2017

Transit Adjudication Bureau Report, 1st Qtr, 2017

Quarterly report to the Committee on Transit Adjudication Bureau financial and operating indicators including collection activities and data on revenue and expenses.

Elevator & Escalator Service Report, 1st Qtr, 2017

Quarterly report to the Committee on system wide reliability and availability goal for elevators and escalators throughout the subway system.

EEO & Diversity Report, 1st Qtr, 2017

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to NYCT's and MTA Bus' Equal Employment Opportunity and Diversity efforts.

JUNE 2017

No Agenda Items

JULY 2017

No Agenda Items

II. SPECIFIC AGENDA ITEMS (con't)

AUGUST 2017

No Meetings Held

SEPTEMBER 2017

2017 NYC Transit Mid-Year Forecast Monthly Allocation

NYC Transit will present a monthly allocation of its 2017 Mid-Year Forecast including revenues/receipts, expenses/expenditures, ridership and positions to the Committee.

2017 SIR Mid-Year Forecast Monthly Allocation

NYC Transit will present a monthly allocation of SIR's 2017 Mid-Year Forecast including revenues/receipts, expenses/expenditures, ridership and positions to the Committee.

2017 MTA Bus Mid-Year Forecast Monthly Allocation

MTA Bus will present its monthly allocation of MTA Bus' 2017 Mid-Year Forecast including revenues/receipts, expenses/expenditures, ridership and positions to the Committee.

2018 NYC Transit Preliminary Budget

Public comments will be accepted on the 2018 Preliminary Budget.

2018 SIR Preliminary Budget

Public comments will be accepted on the 2018 Preliminary Budget.

2018 MTA Bus Preliminary Budget

Public comments will be accepted on the 2018 Preliminary Budget.

Service Quality Indicators/PES Report

Bi-annual report which presents subway and bus service indicators (Wait Assessment) and NYC Transit and MTA Bus Passenger Environment Survey results, which measures subway and bus cleanliness, customer information and operations.

Elevator & Escalator Service Report, 2nd Qtr, 2017

Quarterly report to the Committee on system wide reliability and availability goal for elevators and escalators throughout the subway system.

Transit Adjudication Bureau Report, 2nd Qtr, 2017

Quarterly report to the Committee on Transit Adjudication Bureau financial and operating indicators including collection activities and data on revenue and expenses.

EEO & Diversity Report, 2nd Qtr, 2017

Quarterly report to the Committee providing data on key EEO and Human Resources indicators relating to NYCT's and MTA Bus' Equal Employment Opportunity and Diversity efforts.

II. SPECIFIC AGENDA ITEMS (con't)

OCTOBER 2017

Homeless Outreach Report

MTA report on progress with homeless outreach efforts.

2018 NYC Transit Preliminary Budget

Public comments will be accepted on the 2018 Preliminary Budget.

2018 SIR Preliminary Budget

Public comments will be accepted on the SIR 2018 Preliminary Budget.

2018 MTA Bus Preliminary Budget

Public comments will be accepted on the MTA Bus 2018 Preliminary Budget.

THE METROPOLITAN TRANSPORTATION AUTHORITY

COMMITTEE ON OPERATIONS OF THE NEW YORK CITY TRANSIT AUTHORITY, THE MANHATTAN AND BRONX SURFACE TRANSIT OPERATING AUTHORITY, THE STATEN ISLAND RAPID TRANSIT OPERATING AUTHORITY AND THE MTA BUS COMPANY

This Charter for the Committee on Operations of the New York City Transit Authority, the Manhattan and Bronx Surface Transit Operating Authority, the Staten Island Rapid Transit Operating Authority and the MTA Bus Company was adopted by the Board Chair and a majority of the members of Board of the Metropolitan Transportation Authority, a public benefit corporation established under the laws of the State of New York (together with any other entity or corporation for which the members of the Metropolitan Transportation Authority serve as a board of directors, the “MTA”) on July 24, 2013.

I. PURPOSE

The Committee on Operations of the New York City Transit Authority, the Manhattan and Bronx Surface Transit Operating Authority, and the Staten Island Rapid Transit Operating Authority and the MTA Bus Company (the “Committee”) shall assist the Board Chair and the Board in fulfilling their responsibility to monitor and oversee the operations of the New York City Transit Authority, the Manhattan and Bronx Surface Transit Operating Authority and the Staten Island Rapid Transit Operating Authority (collectively, “NYCT”) and of the MTA Bus Company (“MTA Bus”).

II. COMMITTEE AUTHORITY

In discharging its role, the Committee is empowered to investigate any matter brought to its attention. To facilitate any such investigation, the chairperson of the Committee shall have access to all books, records, facilities and staff of the MTA, NYCT and/or MTA Bus. The foregoing is not intended to alter or curtail existing rights of individual Board members to access books, records or staff in connection with the performance of their fiduciary duties as Board members.

III. COMMITTEE MEMBERSHIP

The Committee shall consist of 3 or more members of the Board, appointed by the Board Chair. If not otherwise a member of the Committee, each Vice-Chair of the Board shall be an *ex officio* member of the Committee. The Board Chair shall appoint the chairperson and the vice-chairperson of the Committee. The vice-chairperson of the Committee shall be a person recommended to the Board by the Mayor of the City of New York. In the absence of the chairperson at a meeting of the Committee, the vice chairperson shall chair such meeting. In the absence of the chairperson and the vice chairperson, the Board Chair shall appoint a temporary chairperson to chair such meeting. A member of the Committee may be removed, for cause or without cause, by the Board Chair.

IV. COMMITTEE MEETINGS

The Committee shall meet on a regularly-scheduled basis at least 11 times per year, and more frequently as circumstances dictate. The Committee shall cause to be kept adequate minutes of all its

proceedings, which shall include records of any action taken. Committee members will be furnished with copies of the minutes of each meeting. Meetings of the Committee shall be open to the public, and the Committee shall be governed by the rules regarding public meetings set forth in the applicable provisions of the Public Authorities Law and Article 7 of the Public Officers Law that relate to public notice, public speaking and the conduct of executive session. The Committee may form and assign responsibilities to subcommittees when appropriate.

The Committee may request that any member of the Board, the Auditor General, any officer or staff of the MTA, the NYCT, MTA Bus or any other person whose advice and counsel are sought by the Committee, attend any meeting of the Committee to provide such pertinent information as the Committee requests. The President of NYCT, the President of MTA Bus , and the President of the MTA Capital Construction Company shall each (1) furnish the Committee with all material information pertinent to matters appearing on the Committee agenda relating to his or her respective organization, (2) provide the chairperson of the Committee with all information regarding the affairs of his or her respective organization that is material to the Committee's monitoring and oversight of the operations of such organization, and (3) inform the chairperson of the Committee of any matters not already on the Committee agenda that should be added to the agenda in order for the Committee to be adequately monitoring and overseeing the operations of his or her organization.

V. COMMITTEE REPORTS.

The chairperson of the Committee shall report on the Committee's proceedings, and any recommendations made.

VI. KEY RESPONSIBILITIES

The following responsibilities are set forth as a guide with the understanding that the Committee may diverge as appropriate given the circumstances. The Committee is authorized to carry out these and such other responsibilities assigned by the Board Chair or the Board from time to time, and take any actions reasonably related to the mandate of this Charter.

To fulfill its purpose, the Committee shall, with respect to NYCT and MTA Bus:

- 1 monitor and update the Board Chair and the Board on the operating performance of NYCT and MTA Bus, including information on subway, bus and paratransit service;
- 2 monitor and update the Board Chair and the Board on the safety record of NYCT and MTA Bus; such monitoring shall include reviewing and monitoring customer and employee safety as well as crime statistics;
- 3 monitor and update the Board Chair and the Board on the implementation of security programs pertaining to NYCT and MTA Bus operations and facilities;
- 4 monitor and update the Board Chair and the Board on the finances of NYCT and MTA Bus, including financial reports, ridership reports, and the use of funds by NYCT and MTA Bus;

- 5 review and make recommendations to the Board Chair and the Board regarding proposed procurement contracts of NYCT and MTA Bus that require Board approval;
- 6 review and make recommendations to the Board Chair and the Board on proposed capital projects of NYCT and MTA Bus and monitor the status of such projects;
- 7 review and make recommendations to the Board Chair and the Board regarding NYCT and MTA Bus service and policy changes that require Board approval;
- 8 facilitate the identification of approaches and solutions that address NYCT and MTA Bus security issues, including best practices in national and international security respecting transportation operations and facilities and review and make recommendations to the Board Chair and the Board regarding NYCT and MTA Bus security issues; and
- 9 review periodically with the Counsel of the MTA, the Chief Compliance Officer, and the Counsel of NYCT and MTA Bus: (i) legal and regulatory matters that may have a material impact on NYCT; and (ii) the scope and effectiveness of compliance policies and programs.

With respect to capital projects undertaken by the MTA Capital Construction Company (MTACC) on behalf of NYCT or MTA Bus:

- 1 review and make recommendations to the Board Chair and Board with respect to the proposed procurements made by the MTACC that require Board approval;
- 2 review and make recommendations to the Board Chair and the Board with respect to contract procurement solicitations that require Board approval;
- 3 monitor the progress of the capital projects undertaken by the MTACC;
- 4 monitor the budget and the schedule of capital projects undertaken by the MTACC;
- 5 monitor the progress of contract commitments and completions with respect to capital projects; and
- 6 track funding needs of capital projects as well as the availability of funds to meet such needs from all sources of funding.

In addition, the Committee shall have the following responsibilities:

- 1 conduct an annual self-evaluation of the performance of the Committee, including its effectiveness and compliance with this Charter;
- 2 review and assess the adequacy of this Charter annually; and

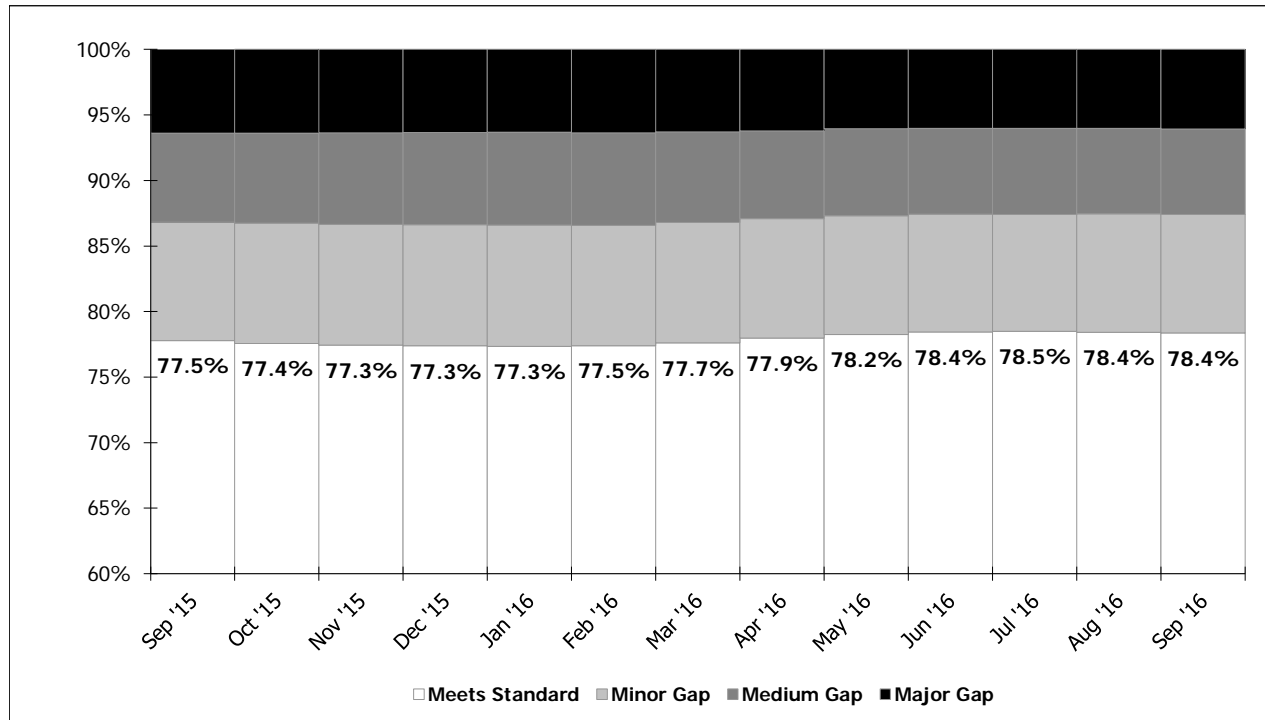
- 3 report regularly to the Board Chair and the Board on Committee findings and recommendations and any other matters the Committee deems appropriate or the Board Chair or the Board requests, and maintain minutes or other records of Committee meetings and activities.

Monthly Operations Report

Statistical results for the month of September 2016 are shown below.

Subway Monthly Operations Report Service Indicators						
Performance Indicator	Current Month: September 2016			12-Month Average		
	This Year	Last Year	% Diff	This Year	Last Year	% Diff
System Weekday Wait Assessment (Charts 1-2)				78.4%	77.5%	+0.9%
A Division Weekday Wait Assessment - ATS-A (1 thru 6 lines)	68.1%	72.6%	-4.5%	71.0%	71.9%	-0.9%
A Division Weekday Wait Assessment - (All Lines)				74.1%	74.5%	-0.4%
B Division Weekday Wait Assessment	79.1%	77.6%	+1.5%	80.6%	79.1%	+1.5%
System Weekend Wait Assessment (Chart 3)				84.6%	85.3%	-0.7%
A Division Weekend Wait Assessment - ATS-A (1 thru 6 lines)	73.9%	81.2%	-7.3%	79.7%	81.7%	-2.0%
A Division Weekend Wait Assessment - (All Lines)				81.9%	83.6%	-1.7%
B Division Weekend Wait Assessment	87.7%	84.7%	+3.0%	86.3%	86.5%	-0.2%
System Weekday Terminal On-Time Performance (Charts 4-5)	65.9%	69.9%	-4.0%	68.0%	70.6%	-2.6%
A Division Weekday Terminal On-Time Performance	61.8%	65.8%	-4.0%	63.7%	66.6%	-2.9%
B Division Weekday Terminal On-Time Performance	69.6%	73.3%	-3.7%	71.6%	74.0%	-2.4%
System Number of Weekday Trains Delayed (Chart 6)	55,922	49,216	+13.6%	52,841	48,159	+9.7%
System Weekend Terminal On-Time Performance (Charts 7-8)	71.0%	72.3%	-1.3%	73.4%	75.5%	-2.1%
A Division Weekend Terminal On-Time Performance	67.5%	69.5%	-2.0%	70.6%	73.5%	-2.9%
B Division Weekend Terminal On-Time Performance	73.4%	74.1%	-0.7%	75.3%	76.9%	-1.6%
System Number of Weekend Trains Delayed (Chart 9)	13,965	13,755	+1.5%	13,353	12,588	+6.1%
Mean Distance Between Failures (Charts 10-11)	108,232	117,445	-7.8%	113,961	138,495	-17.7%
A Division Mean Distance Between Failures	105,899	112,260	-5.7%	109,708	119,173	-7.9%
B Division Mean Distance Between Failures	110,017	121,593	-9.5%	117,343	157,190	-25.3%
System Weekday Service-KPI (Charts 12-13)	74.0%	76.6%	-2.6%	75.0%	76.7%	-1.7%
A Division Weekday Service-KPI	69.0%	72.5%	-3.5%	70.8%	72.4%	-1.6%
B Division Weekday Service-KPI	77.1%	79.4%	-2.3%	77.7%	79.7%	-2.0%
System Weekday PES-KPI (Charts 14-16)				92.0%	91.6%	+0.4%
Staten Island Railway						
24 Hour On-Time Performance	95.4%	96.8%	-1.4%	95.9%	94.0%	+1.9%
AM Rush On-Time Performance	100.0%	96.0%	+4.0%	96.0%	93.5%	+2.5%
PM Rush On-Time Performance	96.7%	99.3%	-2.6%	98.1%	95.3%	+2.8%
Percentage of Completed Trips	100.0%	99.9%	+0.1%	99.9%	99.8%	+0.1%
Mean Distance Between Failures	72,810	43,081	+69.0%	80,214	50,793	+57.9%
Staten Island Railway PES-KPI (Chart 17)				90.7%	90.8%	-0.1%

Subway Weekday Wait Assessment 12-Month Rolling Average (6 am - midnight)



Wait Assessment Definition

Wait Assessment (WA), which is measured weekdays between 6:00 am and midnight, is defined as the percentage of actual intervals between trains that are no more than the scheduled interval plus 25%.

Meets Standard: meets Wait Assessment standard of scheduled headway +25%

Minor Gap: more than 25% to 50% over scheduled headway

Medium Gap: more than 50% to 100% over scheduled headway

Major Gap: more than 100% scheduled headway or missed intervals

Wait Assessment Results

Systemwide <u>12-Month Average</u>					Annual Results <u>(Meets Standard)</u>
	<u>Meets</u>	<u>GAP</u>			
	<u>Standard</u>	<u>Minor</u>	<u>Medium</u>	<u>Major</u>	
Oct '15 - Sep '16	78.4%	9.0%	6.5%	6.1%	2016 TARGET: 80.7%
Oct '14 - Sep '15	77.5%	9.2%	6.9%	6.5%	2015 ACTUAL: 77.3%

Chart 1

**Subway Weekday Wait Assessment
12-Month Rolling Average
(6 am - midnight)**

Oct '15 - Sep '16					Oct '14 - Sep '15					
Line	Meets	Headways			Standard	Meets	Headways			Standard
	Standard	GAP				Standard	GAP			
		Minor	Medium	Major			Minor	Medium	Major	
1	78.0%	9.4%	7.2%	5.4%	78.6%	9.1%	6.6%	5.6%	-0.6%	
2	70.4%	10.3%	10.0%	9.3%	72.2%	10.1%	9.3%	8.4%	-1.8%	
3	75.5%	10.2%	7.9%	6.3%	77.9%	9.4%	7.0%	5.7%	-2.4%	
4	69.8%	9.8%	9.2%	11.3%	70.8%	9.6%	8.7%	10.9%	-1.0%	
5	65.6%	10.3%	10.9%	13.2%	66.3%	10.0%	10.7%	13.0%	-0.7%	
6	66.9%	9.6%	10.6%	12.9%	65.9%	9.6%	10.7%	13.9%	+1.0%	
7	74.6%	10.7%	7.9%	6.9%	74.8%	10.5%	7.6%	7.1%	-0.2%	
S 42nd	91.8%	4.2%	2.2%	1.8%	89.8%	4.1%	2.7%	3.4%	+2.0%	
Subdivision A	74.1%	9.3%	8.2%	8.4%	74.5%	9.0%	7.9%	8.5%	-0.4%	
A	72.0%	8.5%	8.9%	10.7%	67.8%	10.4%	9.4%	12.4%	+4.2%	
B	79.8%	9.5%	6.3%	4.4%	77.9%	10.1%	6.5%	5.5%	+1.9%	
C	76.3%	11.6%	6.5%	5.6%	79.9%	10.0%	5.7%	4.4%	-3.6%	
D	82.1%	10.0%	5.2%	2.6%	78.5%	10.1%	6.9%	4.5%	+3.6%	
E	73.5%	10.0%	7.6%	8.8%	75.5%	10.5%	7.6%	6.4%	-2.0%	
F	76.5%	8.9%	7.1%	7.5%	71.8%	9.9%	8.3%	10.1%	+4.7%	
S Fkln	96.9%	1.4%	0.6%	1.1%	95.8%	1.9%	1.1%	1.2%	+1.1%	
G	84.2%	9.9%	3.9%	2.0%	81.2%	10.4%	5.9%	2.5%	+3.0%	
S Rock	93.1%	4.5%	1.5%	0.7%	91.6%	4.7%	2.3%	1.4%	+1.5%	
JZ	79.1%	9.5%	6.7%	4.6%	79.0%	10.0%	6.0%	5.0%	+0.1%	
L	78.4%	10.0%	6.2%	5.4%	79.9%	9.6%	6.7%	3.9%	-1.5%	
M	80.0%	8.7%	6.2%	5.1%	77.2%	10.0%	7.4%	5.4%	+2.8%	
N	80.7%	10.0%	6.2%	3.2%	77.3%	10.8%	6.9%	5.0%	+3.4%	
Q	80.7%	10.5%	4.5%	4.3%	78.7%	10.3%	6.4%	4.5%	+2.0%	
R	76.4%	10.3%	7.0%	6.2%	74.4%	9.8%	7.5%	8.3%	+2.0%	
Subdivision B	80.6%	8.9%	5.6%	4.8%	79.1%	9.2%	6.3%	5.4%	+1.5%	
Systemwide	78.4%	9.0%	6.5%	6.1%	77.5%	9.2%	6.9%	6.5%	+0.9%	

**Headway
Definitions**

Meets Standard: meets Wait Assessment standard of scheduled headway +25%

Minor Gap: from 25% to 50% over scheduled headway

Medium Gap: from 50% to 100% over scheduled headway

Major Gap: more than 100% scheduled headway or missed intervals

Chart 2

**Subway Weekend Wait Assessment
12-Month Rolling Average
(6 am - midnight)**

Oct '15 - Sep '16					Oct '14 - Sep '15				
Line	Headways				Headways				Standard Difference
	Meets	GAP			Meets	GAP			
	Standard	Minor	Medium	Major	Standard	Minor	Medium	Major	
1	85.2%	7.3%	4.3%	3.2%	88.0%	6.8%	3.5%	1.7%	-2.8%
2	74.7%	11.3%	8.8%	5.3%	79.2%	10.4%	6.7%	3.6%	-4.5%
3	85.3%	8.2%	3.9%	2.6%	85.8%	8.0%	3.9%	2.3%	-0.5%
4	74.2%	10.2%	8.4%	7.2%	74.6%	9.9%	8.3%	7.2%	-0.4%
5	77.2%	9.3%	7.3%	6.2%	84.7%	7.5%	4.4%	3.4%	-7.5%
6	81.7%	8.8%	5.5%	4.0%	77.8%	9.4%	7.3%	5.5%	+3.9%
7	79.2%	10.0%	5.0%	5.7%	79.8%	10.5%	4.8%	4.9%	-0.6%
S 42nd	97.6%	0.5%	0.3%	1.7%	98.7%	0.7%	0.3%	0.4%	-1.1%
Subdivision A	81.9%	8.2%	5.4%	4.5%	83.6%	7.9%	4.9%	3.6%	-1.7%
A	78.1%	10.7%	6.8%	4.4%	73.9%	10.3%	7.4%	8.4%	+4.2%
C	83.1%	9.2%	4.8%	2.7%	81.5%	9.6%	4.5%	4.5%	+1.6%
D	85.9%	8.0%	4.6%	1.5%	86.2%	6.4%	3.7%	3.7%	-0.3%
E	84.4%	9.9%	3.8%	1.9%	81.3%	9.0%	4.6%	5.1%	+3.1%
F	84.4%	7.1%	4.5%	4.0%	87.4%	7.7%	1.8%	3.0%	-3.0%
S Fkln	96.1%	1.6%	1.0%	1.3%	93.9%	4.0%	1.0%	1.0%	+2.2%
G	93.3%	5.1%	0.9%	0.7%	92.5%	5.0%	1.8%	0.7%	+0.8%
JZ	89.4%	5.1%	2.5%	3.0%	90.3%	7.0%	1.8%	0.8%	-0.9%
L	82.4%	7.2%	5.3%	5.1%	86.6%	7.6%	3.8%	2.0%	-4.2%
N	87.2%	8.0%	3.3%	1.6%	88.4%	7.0%	3.2%	1.4%	-1.2%
Q	86.3%	5.4%	4.0%	4.4%	86.6%	7.2%	3.7%	2.5%	-0.3%
R	85.5%	8.1%	4.3%	2.1%	89.4%	4.3%	3.3%	3.0%	-3.9%
Subdivision B	86.3%	7.1%	3.8%	2.7%	86.5%	7.1%	3.4%	3.0%	-0.2%
Systemwide	84.6%	7.5%	4.5%	3.4%	85.3%	7.4%	4.0%	3.2%	-0.7%

Meets Standard: meets Wait Assessment standard of scheduled headway +25%

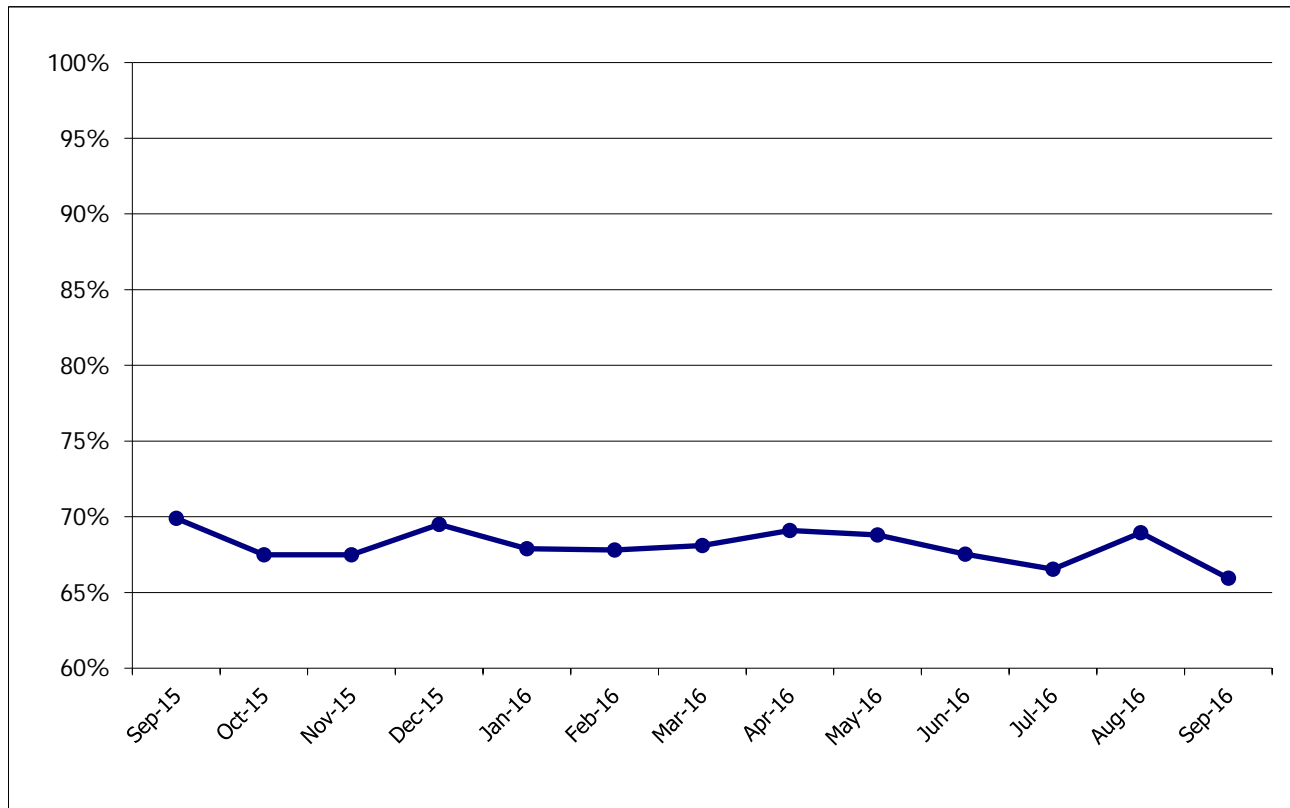
Headway Definitions

Minor Gap: from 25% to 50% over scheduled headway

Medium Gap: from 50% to 100% over scheduled headway

Major Gap: more than 100% scheduled headway or missed intervals

Subway Weekday Terminal On-Time Performance Monthly (24 hours)



Weekday Terminal On-Time Performance Definition

Weekday Terminal On-Time Performance (OTP) for a month is calculated as the percentage of scheduled trains, based on the schedule in effect, either the regular weekday schedule or a supplemental schedule, arriving at the terminal locations within five minutes of their scheduled arrival time during a 24-hour weekday period. An on-time train is defined as a train arriving at its destination terminal on-time, early, or no more than five minutes late, and that has not skipped any planned station stops.

Weekday Terminal On-Time Performance Results

Systemwide

Monthly Results

Sep 2016: 65.9%

Sep 2015: 69.9%

Oct '15 - Sep '16

12-Mon Avg: 68.0%

Subdivision A

Monthly Results

Sep 2016: 61.8%

Sep 2015: 65.8%

Oct '15 - Sep '16

12-Mon Avg: 63.7%

Subdivision B

Monthly Results

Sep 2016: 69.6%

Sep 2015: 73.3%

Oct '15 - Sep '16

12-Mon Avg: 71.6%

Discussion of Results

In September 2016, Over Crowding (21,935 delays), Track Gangs (8,246 delays), and ROW Delays (7,371 delays) were the highest categories of delays, representing 67.15% of the total 55,922 delays.

Chart 4

**Subway Weekday Terminal On-Time Performance
12-Month Rolling Average
(24 hours)**

<u>Line</u>	<u>Oct '15 - Sep '16</u>	<u>Oct '14 - Sep '15</u>	<u>% Difference</u>
1	73.4%	77.5%	-4.1%
2	38.0%	45.0%	-7.0%
3	60.0%	66.8%	-6.8%
4	39.9%	44.2%	-4.3%
5	37.6%	40.9%	-3.3%
6	48.2%	47.4%	+0.8%
7	79.0%	83.3%	-4.3%
S 42nd	99.0%	98.3%	+0.7%
Subdivision A	63.7%	66.6%	-2.9%
A	64.7%	66.9%	-2.2%
B	71.8%	75.8%	-4.0%
C	72.7%	80.8%	-8.1%
D	69.1%	74.6%	-5.5%
E	68.3%	71.0%	-2.7%
F	59.3%	58.9%	+0.4%
S Fkln	99.5%	99.6%	-0.1%
G	79.2%	68.0%	+11.2%
S Rock	95.1%	95.5%	-0.4%
JZ	65.5%	77.6%	-12.1%
L	90.8%	92.5%	-1.7%
M	69.0%	71.0%	-2.0%
N	62.9%	67.0%	-4.1%
Q	68.9%	71.1%	-2.2%
R	59.1%	60.8%	-1.7%
Subdivision B	71.6%	74.0%	-2.4%
Systemwide	68.0%	70.6%	-2.6%

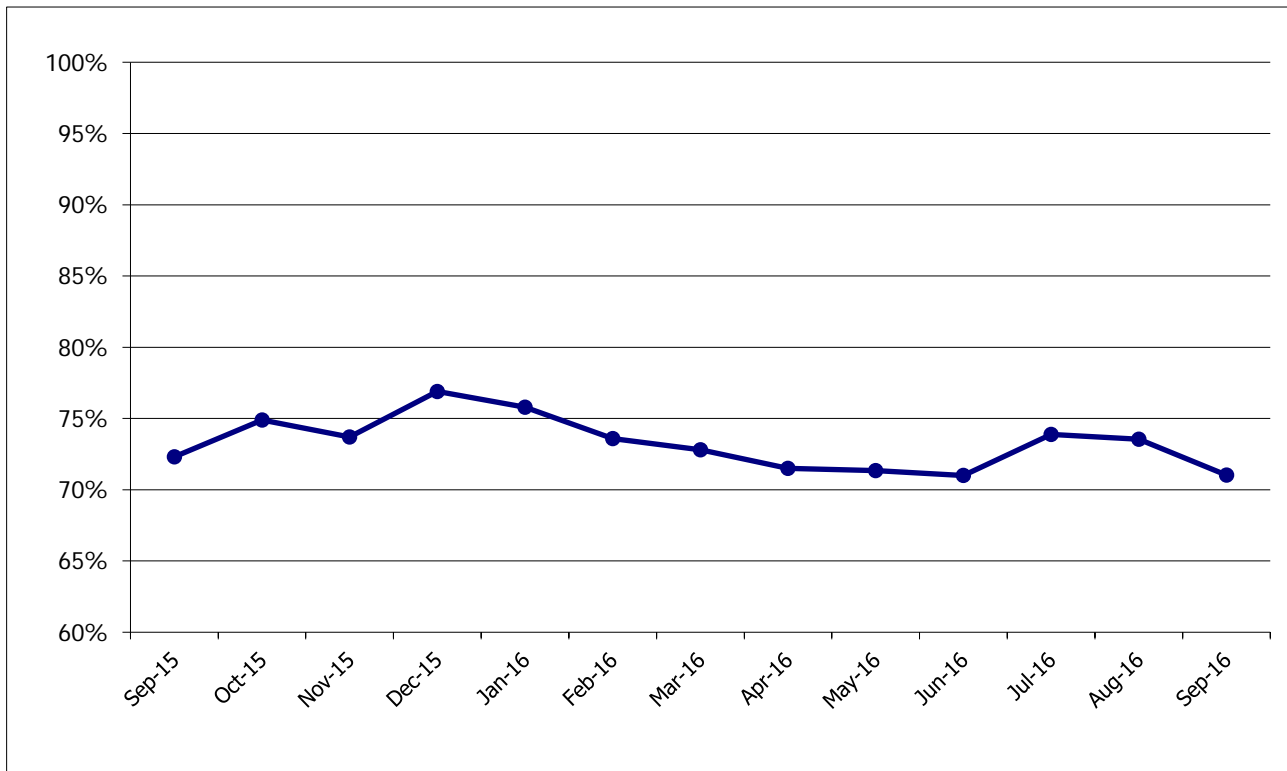
Chart 5

Subway Weekday Trains Delayed Monthly (24 hours)

<u>Categories</u>	<u>September 2016 Trains Delayed</u>
Over Crowding	21,935
Track Gangs	8,246
ROW Delays	7,371
Work Equipment/G. O.	3,468
Sick Customer	2,978
Car Equipment	2,945
Police	2,435
Operational Diversions	2,149
Unruly Customer	1,512
Employee	1,001
Inclement Weather	641
Fire	569
Infrastructure	458
External	214
Total Trains Delayed *	55,922

* Due to rounding, the total may not equal the sum of the addends.

Subway Weekend Terminal On-Time Performance Monthly (24 hours)



Weekend Terminal On-Time Performance Definition

Weekend Terminal On-Time Performance (OTP) for a month is calculated as the percentage of scheduled trains, based on the schedule in effect, either regular weekend schedule or a supplemental schedule, arriving at the terminal locations within five minutes of their scheduled arrival time during a 24-hour weekend day period. An on-time train is defined as a train arriving at its destination terminal on-time, early, or no more than five minutes late, and that has not skipped any planned station stops.

Weekend Terminal On-Time Performance Results

Systemwide

Monthly Results

Sep 2016: 71.0%

Sep 2015: 72.3%

Oct '15 - Sep '16

12-Mon Avg: 73.4%

Subdivision A

Monthly Results

Sep 2016: 67.5%

Sep 2015: 69.5%

Oct '15 - Sep '16

12-Mon Avg: 70.6%

Subdivision B

Monthly Results

Sep 2016: 73.4%

Sep 2015: 74.1%

Oct '15 - Sep '16

12-Mon Avg: 75.3%

Discussion of Results

In September 2016, Work Equipment/G. O. (3,459 delays), Over Crowding (3,234 delays), and Track Gangs (2,542 delays) were the highest categories of delays, representing 66.12% of the total 13,965 delays.

Chart 7

**Subway Weekend Terminal On-Time Performance
12-Month Rolling Average
(24 hours)**

<u>Line</u>	<u>Oct '15 - Sep '16</u>	<u>Oct '14 - Sep '15</u>	<u>% Difference</u>
1	84.1%	88.0%	-3.9%
2	39.1%	44.7%	-5.6%
3	58.7%	66.0%	-7.3%
4	53.2%	48.7%	+4.5%
5	62.8%	75.9%	-13.1%
6	62.2%	59.0%	+3.2%
7	83.5%	89.1%	-5.6%
S 42nd	99.7%	99.6%	+0.1%
Subdivision A	70.6%	73.5%	-2.9%
A	63.7%	61.2%	+2.5%
C	52.7%	64.4%	-11.7%
D	67.6%	70.1%	-2.5%
E	65.5%	61.1%	+4.4%
F	35.3%	50.9%	-15.6%
S Fkln	99.4%	99.6%	-0.2%
G	88.7%	84.4%	+4.3%
S Rock	95.9%	97.5%	-1.6%
JZ	84.4%	90.8%	-6.4%
L	90.9%	90.5%	+0.4%
M	96.9%	96.3%	+0.6%
N	70.4%	69.3%	+1.1%
Q	80.8%	81.0%	-0.2%
R	71.6%	71.9%	-0.3%
Subdivision B	75.3%	76.9%	-1.6%
Systemwide	73.4%	75.5%	-2.1%

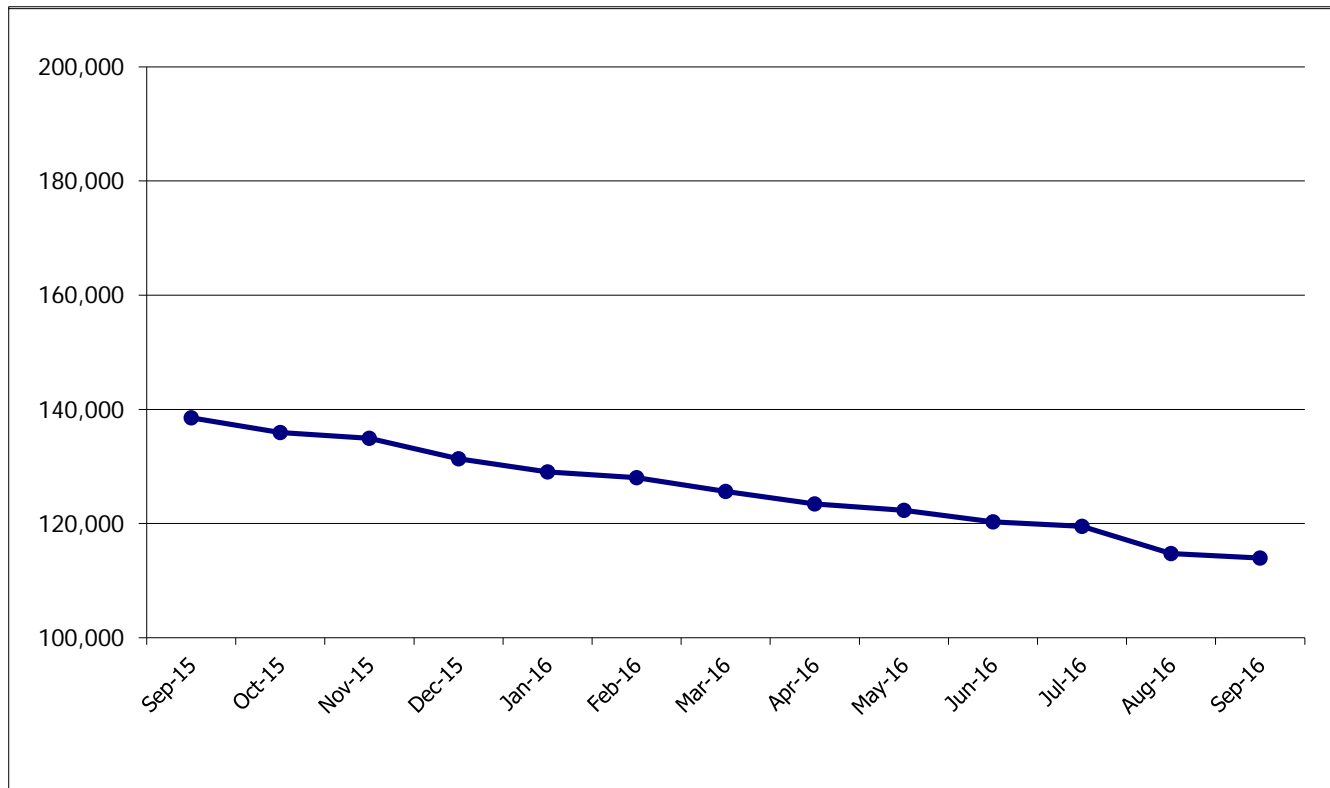
Chart 8

Subway Weekend Trains Delayed **Monthly** **(24 hours)**

<u>Categories</u>	<u>September 2016 Trains Delayed</u>
Work Equipment/G. O.	3,459
Over Crowding	3,234
Track Gangs	2,542
ROW Delays	1,130
Police	707
Unruly Customer	546
Inclement Weather	476
Operational Diversions	470
Car Equipment	452
Sick Customer	353
Employee	294
External	137
Fire	112
Infrastructure	54
Total Trains Delayed *	13,965

* Due to rounding, the total may not equal the sum of the addends.

Subway Mean Distance Between Failure 12-Month Rolling Average



Definition

Subway Mean Distance Between Failure (MDBF) is the measure of subway car fleet reliability and is calculated as revenue car miles divided by the number of delay incidents attributed to car related causes.

Monthly Results

Sep 2016: 108,232

Sep 2015: 117,445

12-Month Average

Oct '15 - Sep '16: 113,961

Oct '14 - Sep '15: 138,495

Annual Result

2016 TARGET: 150,000

2015 ACTUAL: 131,325

Discussion of Results

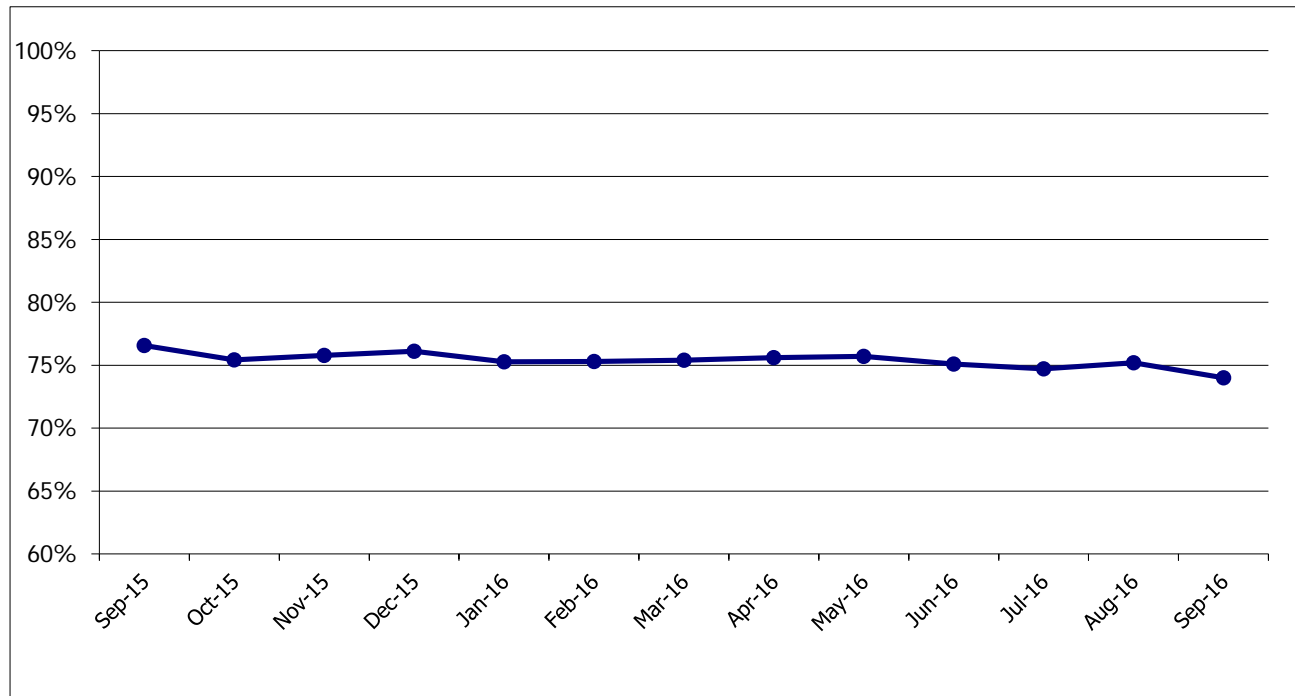
MDBF in September 2016 changed -7.84% from September 2015. Over the past year, the MDBF 12-month average changed -17.71%.

Subway Mean Distance Between Failure 12-Month Rolling Average

<u>Car Class</u>	<u># of Cars</u>	<u>Oct '15 - Sep '16</u>	<u>Oct '14 - Sep '15</u>	<u>% Change</u>
R32	222	32,377	52,418	-38.2%
R42	50	32,788	55,975	-41.4%
R46	752	78,057	106,217	-26.5%
R62	315	176,174	191,901	-8.2%
R62A	824	83,438	102,412	-18.5%
R68	425	114,670	135,299	-15.2%
R68A	200	101,595	101,104	+0.5%
R142	1,030	139,584	161,375	-13.5%
R142A	220	51,275	68,424	-25.1%
R143	212	56,423	69,332	-18.6%
R160	1,662	286,655	378,663	-24.3%
R188 - New	126	581,452	287,307	+102.4%
R188 - Conversion	380	163,346	88,685	+84.2%
FLEET	6,418	113,961	138,495	-17.7%

Chart 11

Subway Service - Key Performance Indicator (S-KPI) Monthly



S-KPI Definition

S-KPI is the combination of three existing service indicators (Wait Assessment, Terminal On-Time Performance and Mean Distance Between Failures). The aggregate S-KPI score is weighted as follows:

- 60%** Wait Assessment (WA) is measured weekdays between 6:00 am and midnight and is defined as the percentage of actual intervals between trains that are no more than the scheduled interval plus 25%. Results are based on 12 month rolling sample data except for the monthly ATS-A 1 through 6 lines and 42nd Street Shuttle.
- 30%** Terminal On-Time Performance (OTP) is calculated as the percentage of scheduled trains, based on the schedule in effect, either the regular weekday schedule or a supplemental schedule, arriving at the terminal locations within five minutes of their scheduled arrival time during a 24-hour weekday period. An on-time train is defined as a train arriving at its destination terminal on-time, early, or no more than five minutes late, and that has not skipped any planned station stops.
- 10%** Mean Distance Between Failures (MDBF) measures the average number of miles a subway car travels in service before a mechanical failure and will be reported as a percentage of the systemwide goal, based on a 12-month rolling average.

S-KPI Results

Systemwide

Monthly Results

Sep 2016: 74.0%

Sep 2015: 76.6%

Oct '15 - Sep '16

12 Mon Avg: 75.0%

Subdivision A

Monthly Results

Sep 2016: 69.0%

Sep 2015: 72.5%

Oct '15 - Sep '16

12 Mon Avg: 70.8%

Subdivision B

Monthly Results

Sep 2016: 77.1%

Sep 2015: 79.4%

Oct '15 - Sep '16

12 Mon Avg: 77.7%

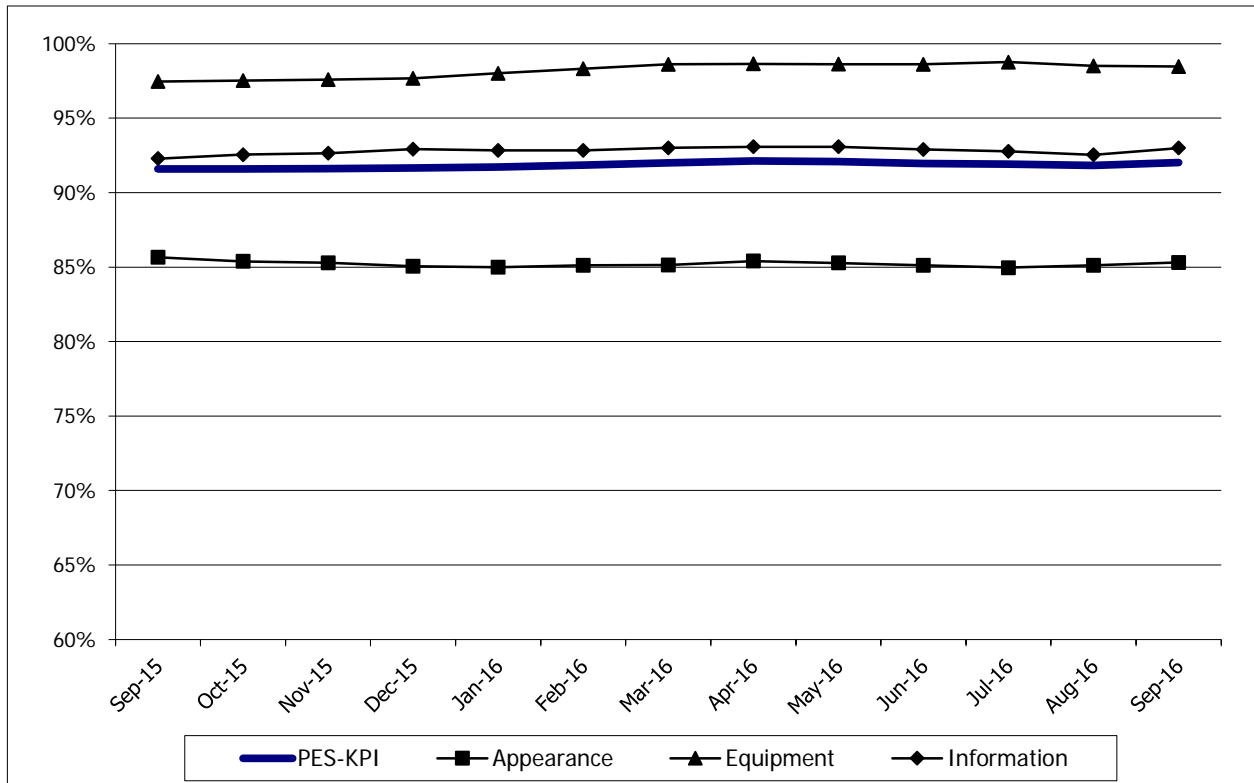
Chart 12

Subway Service - Key Performance Indicator (S-KPI) 12-Month Rolling Average

<u>Line</u>	<u>Oct '15 - Sep '16</u>	<u>Oct '14 - Sep '15</u>	<u>% Difference</u>
1	75.5%	78.2%	-2.7%
2	63.0%	66.8%	-3.8%
3	73.3%	76.8%	-3.5%
4	59.1%	62.0%	-2.9%
5	60.6%	62.1%	-1.5%
6	58.8%	58.3%	+0.5%
7	78.4%	79.6%	-1.2%
S 42nd	86.9%	86.0%	+0.9%
Subdivision A	70.8%	72.4%	-1.6%
A	68.0%	68.0%	+0.0%
B	77.0%	76.1%	+0.9%
C	70.7%	76.6%	-5.9%
D	80.0%	79.4%	+0.6%
E	74.6%	76.6%	-2.0%
F	73.7%	70.7%	+3.0%
S Fkln	89.7%	89.8%	-0.1%
G	77.6%	75.1%	+2.5%
S Rock	90.5%	86.9%	+3.6%
JZ	70.0%	77.1%	-7.1%
L	79.1%	80.7%	-1.6%
M	78.7%	77.6%	+1.1%
N	77.3%	76.5%	+0.8%
Q	79.1%	78.6%	+0.5%
R	68.8%	70.8%	-2.0%
Subdivision B	77.7%	79.7%	-2.0%
Systemwide	75.0%	76.7%	-1.7%

Chart 13

Subway Passenger Environment Survey (PES-KPI) 12-Month Rolling Average



PES-KPI Definition

PES-KPI is a composite indicator for the Subway Car and Station environments, which consists of three categories designed to reflect customer experiences.

Appearance: Includes litter, cleanliness and graffiti ratings in both subway cars and stations; does not currently include peeling paint or missing tiles for stations.

Equipment: Includes in stations, the functionality of elevators, escalators, turnstiles, booth microphones, and MetroCard vending machines; and in subway cars, the functionality of the door panels, lighting, and climate control.

Information: Includes the ratings for maps, employees in proper uniforms, and subway car announcements and signage.

PES-KPI Results (based on a 12-month rolling sample methodology)

	<u>PES-KPI</u>	<u>Appearance</u>	<u>Equipment</u>	<u>Information</u>
Oct '15 - Sep '16	92.0%	85.3%	98.5%	93.0%
Oct '14 - Sep '15	91.6%	85.7%	97.5%	92.3%
% Difference:	+0.4%	-0.4%	+1.0%	+0.7%

Chart 14

Subway PES-KPI - Subway Car 12-Month Rolling Average

<u>Line</u>	<u>Oct '15 - Sep '16</u>				<u>Oct '14 - Sep '15</u>				<u>% Difference</u>
	<u>KPI</u>	<u>Appearance</u>	<u>Equipment</u>	<u>Information</u>	<u>KPI</u>	<u>Appearance</u>	<u>Equipment</u>	<u>Information</u>	<u>KPI</u>
1	94.0%	96.2%	97.8%	88.0%	93.9%	95.4%	94.1%	92.2%	+0.1%
2	96.7%	93.9%	97.2%	99.1%	94.8%	92.3%	97.3%	95.0%	+1.9%
3	94.5%	93.9%	98.6%	90.9%	95.2%	96.5%	97.3%	91.7%	-0.7%
4	96.8%	95.0%	97.1%	98.5%	94.9%	92.9%	96.0%	96.0%	+1.9%
5	96.7%	94.2%	98.4%	97.7%	95.7%	93.0%	97.4%	96.9%	+1.0%
6	95.1%	95.1%	97.0%	93.1%	94.9%	95.0%	95.8%	93.9%	+0.2%
7	97.5%	96.1%	99.3%	97.2%	96.9%	97.2%	98.5%	95.1%	+0.6%
S 42nd	93.5%	96.5%	94.7%	89.1%	93.8%	95.4%	93.2%	92.7%	-0.3%
Subdivision A	95.7%	95.0%	97.8%	94.3%	95.0%	94.4%	96.4%	94.1%	+0.7%
A	95.4%	92.9%	99.6%	93.8%	93.8%	92.9%	95.0%	93.5%	+1.6%
B	92.2%	89.2%	96.3%	91.3%	91.8%	91.6%	92.2%	91.6%	+0.4%
C	97.3%	96.8%	99.5%	95.7%	94.4%	93.6%	96.1%	93.5%	+2.9%
D	92.6%	90.5%	97.0%	90.5%	91.1%	89.2%	92.6%	91.5%	+1.5%
E	96.8%	93.6%	97.4%	99.5%	96.9%	94.1%	98.2%	98.5%	-0.1%
F	96.7%	93.5%	98.0%	98.9%	95.1%	91.6%	98.0%	95.8%	+1.6%
S Fkln	95.5%	94.9%	99.4%	92.3%	93.4%	92.6%	94.0%	93.5%	+2.1%
G	95.7%	96.8%	98.0%	92.4%	94.0%	94.3%	94.5%	93.1%	+1.7%
J/Z	93.7%	90.5%	99.1%	91.6%	96.8%	94.6%	98.8%	97.1%	-3.1%
L	97.2%	94.6%	98.0%	99.2%	94.8%	91.0%	95.8%	97.8%	+2.4%
M	97.2%	93.6%	98.8%	99.4%	95.1%	89.9%	96.5%	99.2%	+2.1%
N	96.5%	92.8%	98.8%	98.1%	96.2%	92.3%	97.2%	99.2%	+0.3%
Q	97.2%	93.0%	99.3%	99.5%	95.6%	89.2%	98.4%	99.5%	+1.6%
R	95.2%	95.6%	99.5%	90.4%	94.8%	93.3%	97.5%	93.8%	+0.4%
Subdivision B	95.8%	93.4%	98.4%	95.6%	94.6%	92.1%	96.2%	95.7%	+1.2%
Systemwide	95.7%	94.0%	98.2%	95.1%	94.8%	92.9%	96.3%	95.1%	+0.9%

Chart 15

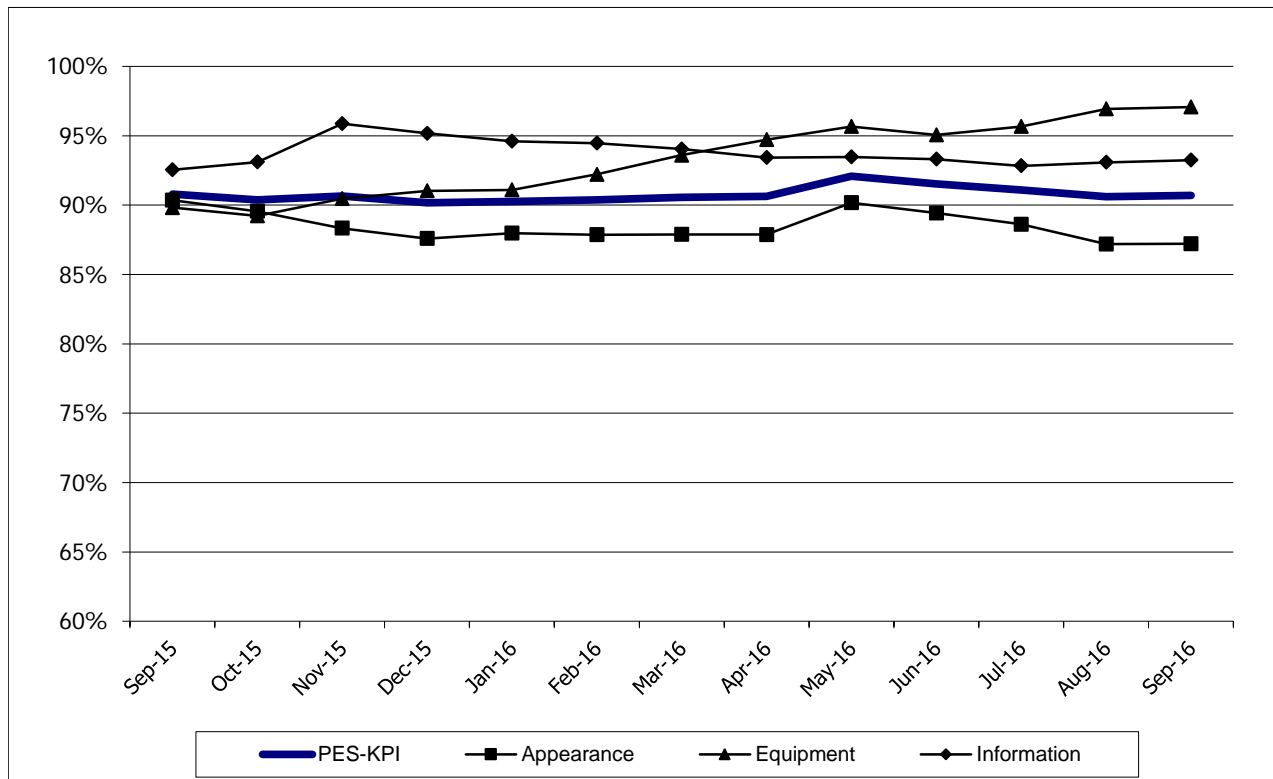
Subway PES-KPI - Stations

12-Month Rolling Average

<u>Borough</u>	<u>Oct '15 - Sep '16</u>				<u>Oct '14 - Sep '15</u>				<u>% Difference</u>
	<u>KPI</u>	<u>Appearance</u>	<u>Equipment</u>	<u>Information</u>	<u>KPI</u>	<u>Appearance</u>	<u>Equipment</u>	<u>Information</u>	<u>KPI</u>
Bronx	85.8%	70.9%	98.7%	90.6%	86.5%	75.3%	98.2%	88.0%	-0.7%
Manhattan	87.9%	76.6%	98.5%	90.9%	87.4%	77.3%	98.7%	88.3%	+0.5%
Brooklyn	89.3%	78.7%	99.3%	91.8%	88.9%	79.7%	98.3%	90.3%	+0.4%
Queens	89.2%	81.3%	99.2%	88.7%	90.7%	83.8%	99.5%	90.2%	-1.5%
Systemwide	88.3%	77.3%	98.8%	90.8%	88.4%	79.0%	98.7%	89.3%	-0.1%

Staten Island Railway Passenger Environment Survey (SIR PES-KPI)

12-Month Rolling Average



PES-KPI Definition

PES-KPI is a composite indicator for the Staten Island Railway Car and Station environments, which consists of three indicators designed to reflect customer experiences.

Appearance: Includes litter, cleanliness, and graffiti ratings in cars and stations.

Equipment: Includes in cars, the functionality of door panels, lighting, and climate control.

Information: Includes the ratings for maps, employees in proper uniforms, and subway car announcements and signage.

Weighting factors are based on customer concerns and management priorities. The results are based on a 12-month rolling sample methodology.

SIR PES-KPI Results

	<u>PES-KPI</u>	<u>Appearance</u>	<u>Equipment</u>	<u>Information</u>
Oct '15 - Sep '16	90.7%	87.2%	97.1%	93.2%
Oct '14 - Sep '15	90.8%	90.3%	89.8%	92.6%
% Difference:	-0.1%	-3.1%	+7.3%	+0.6%

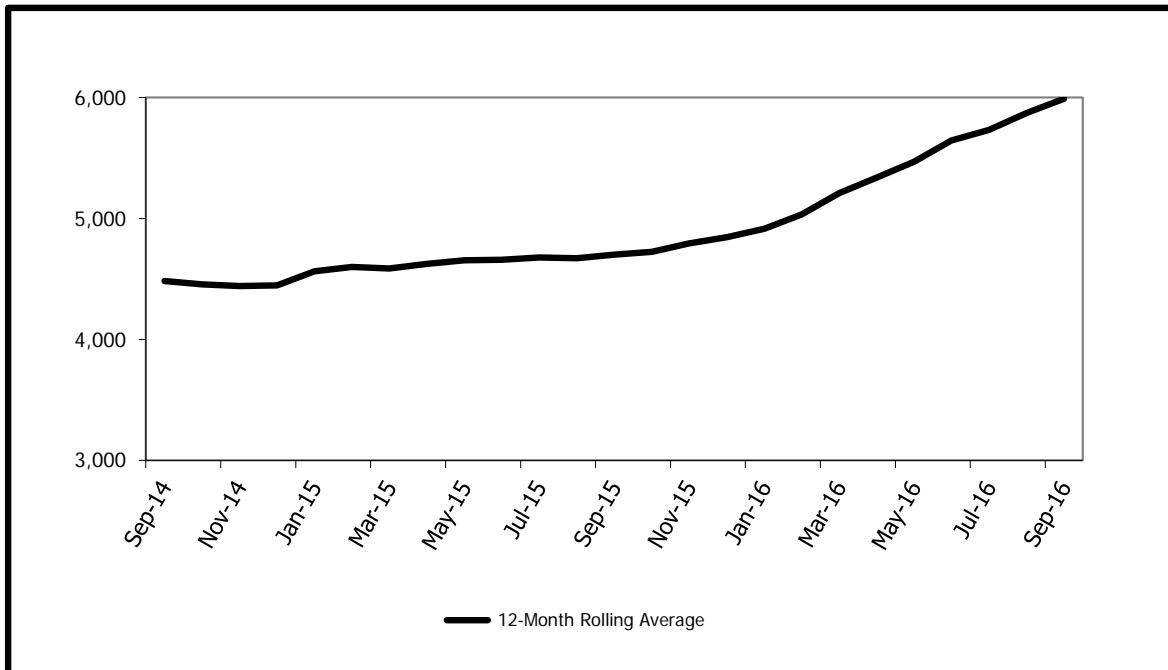
Chart 17

Monthly Operations Report

Statistical results for the month of September 2016 are shown below.

MTA Bus Operations - Fixed Route Monthly Operations Report Service Indicators						
Performance Indicator	Current Month: September 2016			12-Month Average		
	This Year	Last Year	% Change	This Year	Last Year	% Change
System MDBF (chart 1)	6,329	5,039	+25.6%	5,989	4,700	+27.4%
NYCT Bus	5,970	4,827	+23.7%	5,727	4,457	+28.5%
MTA Bus	7,823	5,864	+33.4%	7,010	5,688	+23.2%
System MDBSI (chart 2)	2,826	2,542	+11.2%	2,740	2,446	+12.0%
NYCT Bus	2,644	2,417	+9.4%	2,590	2,355	+10.0%
MTA Bus	3,621	3,049	+18.7%	3,360	2,788	+20.5%
System Trips Completed (chart 3)	99.36%	99.28%	+0.1%	99.14%	98.86%	+0.3%
NYCT Bus	99.32%	99.28%	+0.0%	99.13%	98.93%	+0.2%
MTA Bus	99.53%	99.28%	+0.2%	99.18%	98.55%	+0.6%
System AM Pull Out (chart 4)	99.92%	99.88%	+0.0%	99.86%	99.48%	+0.4%
NYCT Bus	99.90%	99.90%	+0.0%	99.87%	99.54%	+0.3%
MTA Bus	99.97%	99.80%	+0.2%	99.82%	99.27%	+0.5%
System PM Pull Out (chart 5)	99.96%	99.92%	+0.0%	99.93%	99.72%	+0.2%
NYCT Bus	99.96%	99.95%	+0.0%	99.95%	99.86%	+0.1%
MTA Bus	99.95%	99.82%	+0.1%	99.86%	99.22%	+0.6%
System Buses> = 12 years	17%	24%				
NYCT Bus	21%	28%				
MTA Bus	4%	10%				
System Fleet Age	7.26	8.37				
NYCT Bus	6.95	8.38				
MTA Bus	8.34	8.35				
Paratransit						
% of Trips Completed	94.67%	94.60%	+0.1%	94.83%	94.58%	+0.2%
Trips Requested	645,563	636,886	+1.4%	655,876	652,063	+0.6%
Trips Scheduled	558,024	548,340	+1.8%	565,671	562,059	+0.6%
Trips Completed	528,307	518,732	+1.8%	536,401	531,578	+0.9%
Early Cancellations as a Percentage of Trips Requested	12.65%	13.12%	-0.5%	12.92%	13.04%	-0.1%
Late Cancellations as a Percentage of Trips Scheduled	3.14%	2.85%	+0.3%	2.95%	2.98%	-0.0%
No-Shows (Passenger) as a Percentage of Trips Scheduled	1.52%	1.59%	-0.1%	1.50%	1.55%	-0.0%
No-Shows (Carrier and No-Fault) as a Percentage of Trips Scheduled	0.66%	0.96%	-0.3%	0.72%	0.90%	-0.2%
Denials (Capacity) as a Percentage of Trips Requested	0.00%	0.00%	0.0%	0.00%	0.00%	0.0%
Customer Refusals as a Percentage of Trips Requested	0.91%	0.79%	+0.1%	0.83%	0.77%	+0.1%
New Applications Received	2,853	2,940	-3.0%	3,006	3,064	-1.9%

Bus Mean Distance Between Failures - System*



Definition

Bus Mean Distance Between Failures (MDBF) measures the average miles between mechanical road calls. It indicates the Mechanical Reliability of the Fleet.

Monthly Results

September 2016: 6,329
September 2015: 5,039

12-Month Average

October 15 - September 16: 5,989
October 14 - September 15: 4,700

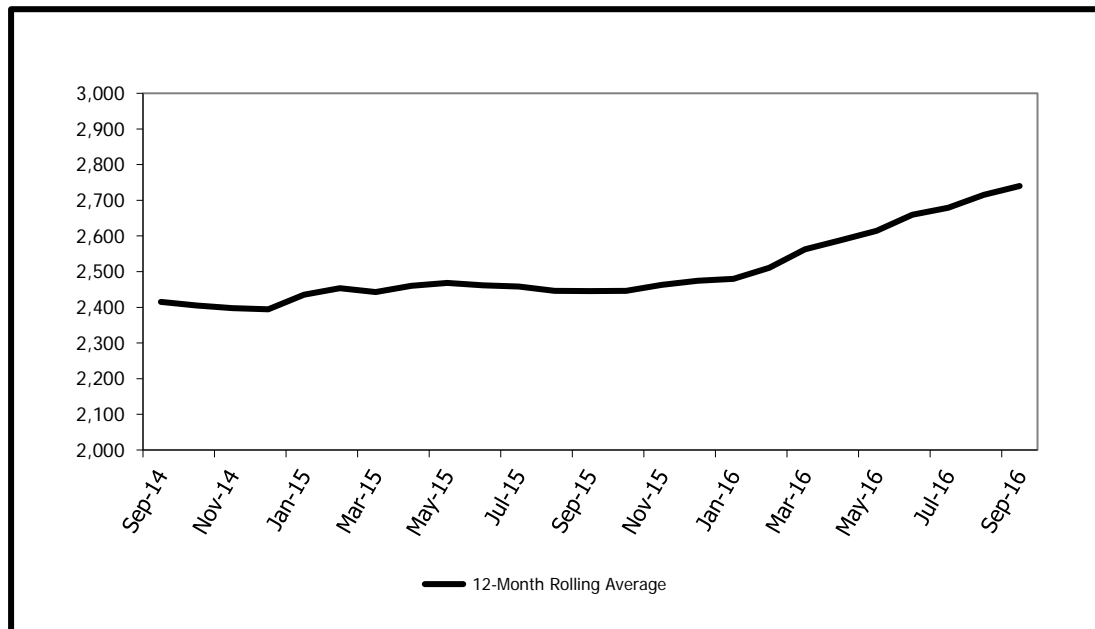
Annual Results

2016 Goal: 5,002
2015 Actual: 4,844

* "System" refers to the combined results of NYCT Bus and MTA Bus

Chart 1

Bus Mean Distance Between Service Interruptions - System*



Definition

The average distance traveled by a bus between all delays and/or inconveniences to customers within a 12-month period. All road calls caused by both mechanical and non-mechanical failures are included.

Monthly Results

September 2016: 2,826
September 2015: 2,542

12-Month Average

October 15 - September 16 2,740
October 14 - September 15 2,446

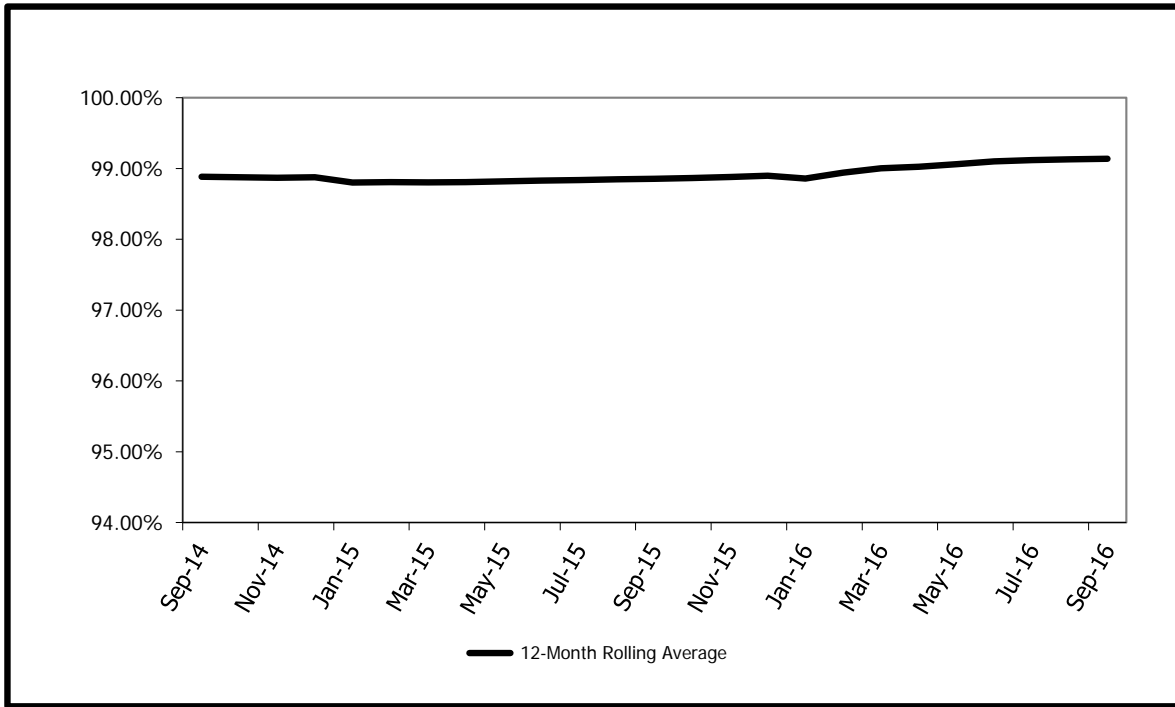
Annual Results

2016 YTD: 2,760
2015 Actual: 2,474

* "System" refers to the combined results of NYCT Bus and MTA Bus

Chart 2

Bus Percentage of Completed Trips - System*



Definition

The percent of trips completed system wide for the 12-month period.

Monthly Results

September 2016: 99.36%
September 2015: 99.28%

12-Month Average

October 15 - September 16 99.14%
October 14 - September 15 98.86%

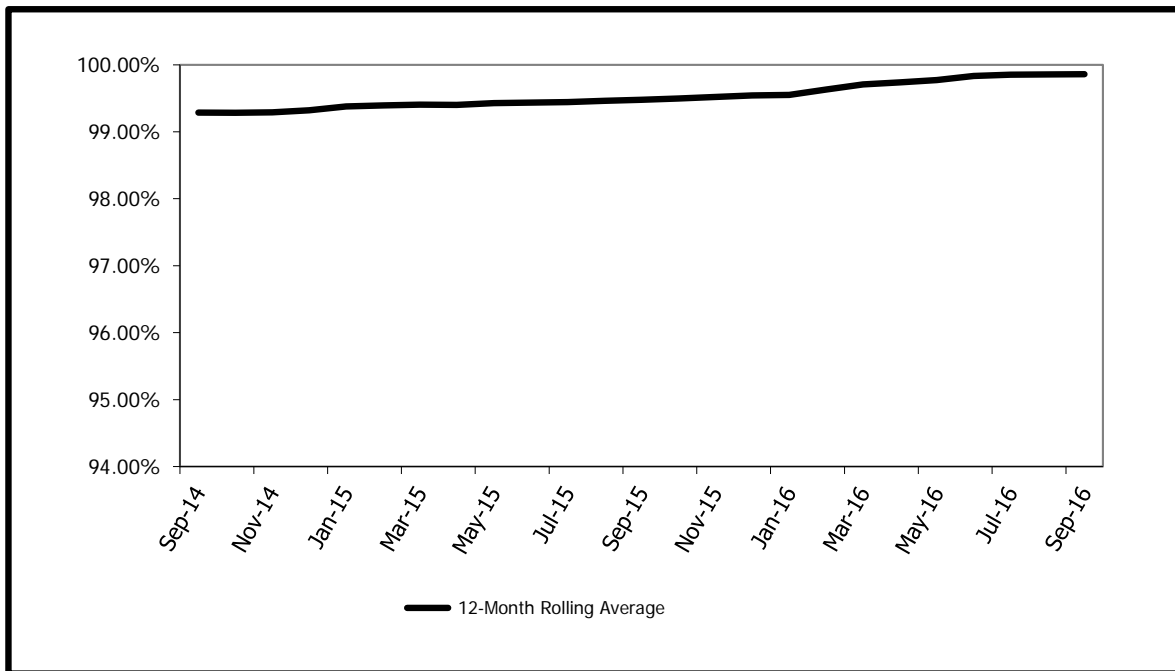
Annual Results

2016 YTD: 99.10%
2015 Actual: 98.90%

* "System" refers to the combined results of NYCT Bus and MTA Bus

Chart 3

Bus AM Weekday Pull Out Performance - System*



Definition

The percent of required buses and operators available in the AM peak period.

Monthly Results

September 2016: 99.92%
September 2015: 99.88%

12-Month Average

October 15 - September 16 99.86%
October 14 - September 15 99.48%

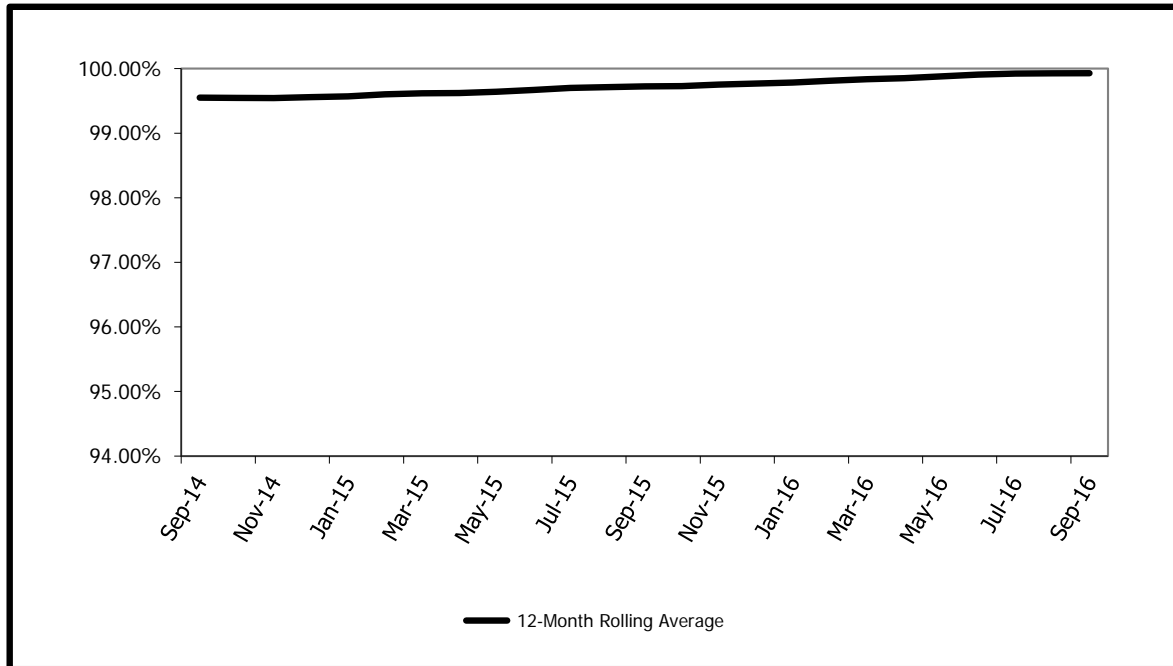
Annual Results

2016 YTD: 99.86%
2015 Actual: 99.55%

* "System" refers to the combined results of NYCT Bus and MTA Bus

Chart 4

Bus PM Weekday Pull Out Performance - System*



Definition

The percent of required buses and operators available in the PM peak period.

Monthly Results

12-Month Average

Annual Results

September 2016: 99.96%

October 15 - September 16

99.93%

2016 YTD:

99.94%

September 2015: 99.92%

October 14 - September 15

99.72%

2015 Actual:

99.77%

* "System" refers to the combined results of NYCT Bus and MTA Bus

Chart 5

Monthly Operations Report

Statistical results for the 12-Month period are shown below.

Safety Report			
Performance Indicators	12-Month Average		
	Oct 2013 - Sep 2014	Oct 2014 - Sep 2015	Oct 2015 - Sep 2016
Subways			
Subway Customer Accidents per Million Customers ¹	2.62	2.60	2.52
Subway Collisions ^{2,3}	1	0	0
Subway Derailments ^{2,3}	2	2	1
Subway Fires ²	986	1,044	923
Buses			
Bus Collisions Per Million Miles Regional	49.41	51.48	56.42
Bus Collision Injuries Per Million Miles Regional	6.36	6.34	6.69
Bus Customer Accidents Per Million Customers Regional	1.07	1.12	1.21
Total NYCT and MTA Bus Lost Time Accidents per 100 Employees	3.63	3.79	4.08

¹ 12-Month Average data from September through August.

² 12-month figures shown are totals rather than averages.

³ Data from November through October.

Leading Indicators				
Subways	October	YTD	Goal	YTD as % of Goal
Roadway Worker Protection				
Joint Track Safety Audits -- Actual Count	29	313	336	93.2%
Joint Track Safety Audits -- Compliance Rate	99.6%	99.0%	100.0%	99.0%
Mainline Collision/Derailment Prevention				
Continuous Welded Rail Initiative (# of Track Feet)	5,131	47,743	61,178	78.0%
Station -- Emergency Communication				
Help Point Installations	11	105	130	80.8%
Buses	October	YTD	Goal	YTD as % of Goal
Collision Prevention				
Audible Pedestrian Warning System Pilot ⁴	N/A	N/A	40	N/A
Collision Warning System Pilot ⁵	N/A	N/A	20	N/A
Vision Zero Employee Training	530	4,983	6,000	83.1%

⁴ Proof of concept on 4 buses continues to function as designed. Vendor has initiated installations on pilot bus types. Target is to install 40 buses by end of year.

⁵ Proof of concept on 2 buses continues to function as designed. Vendor has been selected for extended pilot deployment. Our target is to install 20 pilot buses by end of year.

Monthly Operations Report

Safety Report Definitions:

Joint Track Safety Audits are conducted by a joint team of personnel from the Office of System Safety and the Transport Workers Union. The teams look at critical items for on-track safety such as flagging, third rail safety and lighting. These reviews are conducted at various Department of Subways, Capital Program Management and MTA Capital Construction work sites along the right of way to assess compliance with the rules and procedures, identify deficiencies in training and equipment, and improve on-track safety.

Continuous Welded Rail (CWR) significantly reduces the number of rail joints, which lessens the occurrence of broken rails while also providing a smoother ride. Track Engineering analyzed system-wide broken rail data and set forth a CWR installation plan to help reduce broken rails and improve track conditions.

Help Point Installations are designed to provide a visible communication device in passenger stations to enable customers to communicate with an NYCT employee. Help Points will be installed on subway platforms as well as in passenger station fare control areas. Customers can request information or report an emergency to trained NYCT personnel who will respond appropriately.

Audible Pedestrian Warning System Pilot technology produces an audible voice alert to pedestrians when a bus is making a left- or a right-hand turn. The system turns on automatically without a bus operator's intervention and alerts pedestrians with a street- and curb-side speaker. Volume automatically adjusts based on outside ambient noise.

Collision Avoidance System Pilot provides proactive operator warnings to prevent potential forward collisions as well as potential collisions on both sides of the bus. A 'Vehicle Detection Algorithm' recognizes motorized vehicles such as cars, motorcycles and trucks in day- and night-time conditions. Visual and audible alerts to bus operators are activated under the following customizable triggers: unintentional lane departure warning, pedestrian and cyclist collision warning, forward collision warning.

Vision Zero Training provides focused Safety Awareness Training to all Bus Operators which engages them on all aspects of Pedestrian Safety issues; emphasizing the current challenges of managing their Buses in an environment with distracted Pedestrians, Motorists and Cyclists. The program incorporates Testimonial videos from "Families for Safer Streets" along with a series of videos of serious Bus and Pedestrian accidents secured from on-board bus cameras as well as external traffic and security cameras. The Training which will be delivered over two years was implemented in April 2015 and will be completed by the end of March 2017.



Police Department
City of New York

MTA Report

CRIME STATISTICS OCTOBER

	2016	2015	Diff	% Change
MURDER	0	0	0	0.0%
RAPE	0	0	0	0.0%
ROBBERY	32	43	-11	-25.6%
GL	162	164	-2	-1.2%
FELASSAULT	22	22	0	0.0%
BURGLARY	1	1	0	0.0%
<u>TOTAL MAJOR FELONIES</u>	<u>217</u>	<u>230</u>	<u>-13</u>	<u>-5.7%</u>

During October, the daily Robbery average decreased from 1.3 to 1

During October, the daily Major Felony average decreased from 7.2 to 6.8

CRIME STATISTICS JANUARY THRU OCTOBER

	2016	2015	Diff	% Change
MURDER	1	1	0	0.0%
RAPE	0	1	-1	-100.0%
ROBBERY	399	422	-23	-5.5%
GL	1319	1373	-54	-3.9%
FELASSAULT	247	206	41	19.9%
BURGLARY	15	17	-2	-11.8%
<u>TOTAL MAJOR FELONIES</u>	<u>1981</u>	<u>2020</u>	<u>-39</u>	<u>-1.9%</u>

Year to date the daily Robbery average decreased from 1.4 to 1.3

Year to date the daily Major Felony average decreased from 6.6 to 6.5

FIGURES ARE PRELIMINARY AND SUBJECT TO FURTHER ANALYSIS AND REVISION



**Police Department
City of New York**

MTA Report

OCTOBER ACTIVITY

	2016	2015	Diff	% Change
Total Arrests	3050	4369	-1319	-30.2%
TOS Arrests	2161	2568	-407	-15.8%
Summons	7787	6777	1010	14.9%

JANUARY THRU OCTOBER ACTIVITY

	2016	2015	Diff	% Change
Total Arrests	30500	40746	-10246	-25.1%
TOS Arrests	20914	22483	-1569	-7.0%
Summons	70386	68036	2350	3.5%

FIGURES ARE PRELIMINARY AND SUBJECT TO FURTHER ANALYSIS AND REVISION



Police Department
City of New York

REPORT

	JANUARY-OCTOBER																			
	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016
<i>Murder</i>	4	1	5	1	2	1	3	3	4	2	4	2	1	1	1	0	1	1	1	1
<i>Rape</i>	1	13	1	5	1	0	3	2	3	3	1	2	1	1	3	8	5	5	1	0
<i>Robbery</i>	1898	1555	1376	1161	1002	1049	955	897	960	831	657	636	572	605	643	680	509	351	422	399
<i>Assault</i>	397	363	345	305	227	238	208	228	181	155	174	150	134	162	166	165	164	176	206	247
<i>Burglary</i>	26	14	8	10	38	13	7	5	1	5	2	5	1	2	8	23	30	17	17	15
<i>GL</i>	2964	2143	1996	2105	1885	1803	1455	1547	1514	1233	1065	1090	940	1001	1255	1405	1411	1301	1373	1319
<i>TOTAL MAJOR FELONIES</i>	5290	4089	3731	3587	3155	3104	2631	2682	2663	2229	1903	1885	1649	1772	2076	2281	2120	1851	2020	1981
<i>Major Fel Per Day</i>	17.40	13.45	12.27	11.80	10.38	10.21	8.65	8.82	8.76	7.33	6.26	6.20	5.42	5.83	6.83	7.50	6.97	6.09	6.64	6.52



METROPOLITAN TRANSPORTATION AUTHORITY
Police Department
Staten Island Rapid Transit

October 2016 vs. 2015

	2016	2015	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	0	0	0	0%
Felony Assault	0	0	0	0%
Burglary	0	0	0	0%
Grand Larceny	1	0	1	100%
Grand Larceny Auto	0	0	0	0%
Total Major Felonies	1	0	1	100%

Year to Date 2016 vs. 2015

	2016	2015	Diff	% Change
Murder	0	0	0	0%
Rape	0	0	0	0%
Robbery	6	7	-1	-14%
Felony Assault	1	2	-1	-50%
Burglary	0	0	0	0%
Grand Larceny	8	7	1	14%
Grand Larceny Auto	0	0	0	0%
Total Major Felonies	15	16	-1	-6%



FINANCIAL AND RIDERSHIP REPORT

Preliminary financial results for September 2016 are presented in the table below and compared to the Mid-Year Forecast (forecast).

Category (\$ in millions)	September Results		September Year-to-Date Results			
	Variance Fav/(Unfav)		Forecast	Prel Actual	Variance Fav/(Unfav)	
	\$	%			\$	%
Total Farebox Revenue	5.2	1.4	3,283.6	3,292.8	9.2	0.3
Nonreimb. Exp. before Dep./OPEB	(1.8)	(0.3)	5,439.0	5,513.1	(74.1)	(1.4)
Net Cash Deficit*	(40.4)	(19.6)	(2,135.9)	(2,126.0)	9.9	0.5
*Excludes Subsidies and Debt Service						

September 2016 **farebox revenue** was \$380.5 million, \$5.2 million (1.4 percent) above forecast. Subway revenue was \$3.8 million (1.3 percent) above forecast, bus revenue was \$1.5 million (1.8 percent) above forecast, and paratransit revenue was less than \$0.1 million (2.3 percent) below forecast. Accrued fare media liability was equal to forecast. Year-to-date revenue of \$3,292.8 million was \$9.2 million (0.3 percent) above forecast. The September 2016 non-student **average fare** of \$1.890 increased 1.3¢ from September 2015; the subway fare increased 1.0¢, the local bus fare increased 1.5¢, and the express bus fare decreased 1.6¢.

Total **ridership** in September 2016 of 204.1 million was 2.8 million trips (1.4 percent) below forecast. Average weekday ridership in September 2016 was 8.0 million, 1.6 percent higher than September 2015. Average weekday ridership for the twelve months ending September 2016 was 7.8 million, 0.2 percent higher than the twelve months ending September 2015.

Nonreimbursable expenses before depreciation, OPEB and GASB 68 Pension Adjustment in September were above forecast by a net \$1.8 million (0.3 percent). Labor expenses were below forecast by \$7.9 million (1.6 percent), due largely to favorable payroll expenses and reimbursable overhead credits, partly offset by higher overtime expenses. Non-labor expenses were over forecast by a net \$9.8 million (6.8 percent), mainly from a catch-up of claims accrual adjustments.

Year-to-date, nonreimbursable expenses overran forecast by \$74.1 million (1.4 percent). Labor expenses were above forecast by \$93.8 million (2.3 percent), due significantly to Workers' Compensation additional reserve requirements, based on a current actuarial update recorded in June. Health & welfare/OPEB current expenses were above forecast, due to unfavorable rates and timing. Payroll results were favorable. Non-labor expenses were under forecast by \$19.7 million (1.5 percent), with most accounts reporting favorable results.

The **net cash deficit** for September year-to-date was \$2,126.0 million, \$9.9 million (0.5 percent) favorable to forecast.

FINANCIAL RESULTS

Farebox Revenue

September 2016 Farebox Revenue - (\$ in millions)

	September				September Year-to-Date			
	Forecast	Preliminary	Favorable/(Unfavorable)		Forecast	Preliminary	Favorable/(Unfavorable)	
		Actual	Amount	Percent		Actual	Amount	Percent
Subway	284.0	287.8	3.8	1.3%	2,494.0	2,497.8	3.8	0.2%
NYCT Bus	82.8	84.3	1.5	1.8%	723.1	728.5	5.5	0.8%
Paratransit	1.5	1.5	(0.0)	(2.3%)	13.8	13.7	(0.0)	(0.3%)
Subtotal	368.3	373.6	5.2	1.4%	3,230.8	3,240.0	9.2	0.3%
Fare Media Liability	6.9	6.9	0.0	0.0%	52.8	52.8	0.0	0.0%
Total - NYCT	375.2	380.5	5.2	1.4%	3,283.6	3,292.8	9.2	0.3%
MTA Bus Company	18.3	18.7	0.4	2.3%	158.5	160.8	2.3	1.4%
<i>Total - Regional Bus</i>	<i>101.0</i>	<i>103.0</i>	<i>1.9</i>	<i>1.9%</i>	<i>881.6</i>	<i>889.3</i>	<i>7.7</i>	<i>0.9%</i>

Note: Totals may not add due to rounding.

- The favorable September revenue is due to a \$5.9 million positive adjustment made to July and August revenue based on updated 3rd quarter average pass fares.
- Year-to-date revenue also includes an earlier \$8.1 million positive adjustment made to April and May revenue, based on 2nd quarter average pass fares which were updated after the forecast was developed.

Average Fare

September Non-Student Average Fare - (in \$)

	NYC Transit				MTA Bus Company			
	2015	Prelim.	Change		2015	Prelim.	Change	
		2016	Amount	Percent		2016	Amount	Percent
Subway	1.965	1.975	0.010	0.5%				
Local Bus	1.566	1.581	0.015	1.0%	1.591	1.607	0.016	1.0%
Subway & Local Bus	1.862	1.875	0.013	0.7%	1.591	1.607	0.016	1.0%
Express Bus	5.117	5.101	(0.016)	(0.3%)	5.129	5.097	(0.033)	(0.6%)
Total	1.877	1.890	0.013	0.7%	1.830	1.842	0.011	0.6%

- September 2016 non-student subway and bus average fares were higher than September 2015, due to higher 3rd quarter 2016 unlimited ride pass average fares.
- Average fares have not kept up with inflation since 1996, before MetroCard fare incentives began. In constant 1996 dollars, the preliminary September average fare of \$1.20 was 18¢ lower than the average fare of \$1.38 in 1996.

Other Operating Revenue

For September year-to-date, other operating revenue underran forecast by \$9.0 million (2.8 percent), due mostly to lower advertising revenue and paratransit Urban Tax revenue.

Nonreimbursable Expenses

In the month of September, nonreimbursable expenses before depreciation, OPEB and GASB 68 Pension Adjustment, were slightly above forecast by \$1.8 million (0.3 percent). Year-to-date, expenses exceeded forecast by \$74.1 million (1.4 percent). The major causes of these variances are reviewed below:

Labor expenses in the month of September were below forecast by \$7.9 million (1.6 percent). Payroll expenses were less than forecast by \$11.8 million (4.5 percent), due largely to vacancies and the favorable timing of expenses. Reimbursable overhead credits were favorable by \$3.4 million (18.7 percent), due to higher reimbursable labor requirements. Other fringe benefits were under forecast by \$3.2 million (8.6 percent), principally from favorable direct overhead credits, also caused by higher reimbursable labor requirements. Partly offsetting these positive results are higher overtime expenses of \$6.6 million (18.8 percent), due to continued signals maintenance requirements, subway service delays and overcrowding and vacancy/absentee coverage requirements. Health & welfare/OPEB current expenses were unfavorable by \$2.2 million (2.3 percent), due mostly to the timing of expenses. Pension expenses were above forecast by \$1.7 million (2.2 percent), due mainly to higher MaBSTOA expenses. Year-to-date, labor expenses exceeded forecast by \$93.8 million (2.3 percent), including an increase in other fringe benefit expenses of \$81.6 million (25.3 percent), due primarily to additional Workers' Compensation reserve requirements, based on an actuarial update that reflects, among other things, higher statutory weekly payments, higher medical costs and an increase in the volume of claims. Health & welfare/OPEB current expenses were above forecast by \$23.2 million (2.6 percent), due mostly to unfavorable rates and the timing of expenses. Overtime expenses exceeded forecast by \$12.3 million (3.7 percent), due to subway service delays and overcrowding, vacancy/absentee coverage requirements, and continued signals maintenance requirements. Pension expenses were higher by \$5.1 million (1.3 percent), due to an overrun of MaBSTOA expenses. Payroll expenses underran forecast by \$19.8 million (0.8 percent), due largely to vacancies and the favorable timing of expenses. Reimbursable overhead credits were favorable by \$8.6 million (4.8 percent), due to additional reimbursable overtime requirements.

Non-labor expenses were above forecast in September by \$9.8 million (6.8 percent). Claims expenses were over forecast by \$14.2 million, due largely to a catch-up to accrue forecasted claims expenses, subject to adjustment based on an actuarial update to be completed later this year. Electric power expenses were higher by \$5.0 million (22.4 percent), resulting mainly from the unfavorable timing of expenses/billing adjustments and higher consumption. Maintenance contract expenses were under forecast by \$4.1 million (19.8 percent), primarily from the favorable timing of subway car-related maintenance, auto purchases, building-related expenses and maintenance service expenses. Fuel expenses were below forecast by \$2.7 million (48.5 percent), due to the favorable timing of expenses, partly offset by higher consumption. Materials & supplies expenses underran forecast by \$2.3 million (9.1 percent), due principally to favorable inventory/obsolescence adjustments. Professional service contract expenses were less than forecast by \$0.8 million (7.2 percent), due primarily to the favorable timing of office-related equipment and Information Technology-related expenses, partly offset by the unfavorable timing of bond services expenses. Year-to-date, non-labor expenses were favorable by \$19.7 million (1.5 percent), including the following:

- Professional service contract expenses were favorable by \$6.6 million (7.1 percent), due primarily to the favorable timing of bond service and various professional service contract account expenses.
- Paratransit service contract expenses were lower than forecast by \$5.1 million (1.7 percent), due principally to the favorable timing of expenses.
- Materials and supplies expenses were under forecast by \$4.4 million (1.8 percent), due largely to favorable inventory/obsolescence adjustments and increased scrap/surplus sales.
- Other business expenses underran by \$2.6 million (4.3 percent), due mainly to the favorable timing of miscellaneous credits/expenses.
- Fuel expenses were less than forecast by \$2.3 million (3.8 percent), due to the favorable timing of expenses, partly offset by higher consumption and prices.
- Maintenance contract expenses were below forecast by \$1.4 million (0.8 percent), mainly from the favorable timing of subway car-related maintenance, building-related expenses, and lower painting expenses, partly offset by higher revenue vehicle maintenance contract expenses.
- Electric power expenses were in excess of forecast by \$1.9 million (1.0 percent), principally from the unfavorable timing of expenses/billing adjustments, partly offset by lower prices.

Depreciation expenses were below forecast year-to-date by \$38.2 million (3.0 percent), due to the favorable timing of assets reaching beneficial use.

GASB #45 Other Post-Employment Benefits was adopted by the MTA in 2007. Consistent with its requirements, MTA New York City Transit recorded \$892.5 million of accrued expenses year-to-date, \$161.0 million (15.3 percent) lower than forecast, based on current actuarial information.

GASB #68 Pension Adjustment was adopted by the MTA in 2015. Consistent with its requirements, MTA New York City Transit recorded \$257.5 million of accrued expenses year-to-date, \$83.2 million (24.4 percent) below forecast.

Net Cash Deficit

The net cash deficit for September year-to-date was \$2,126.0 million, \$9.9 million (0.5 percent) favorable to forecast.

Incumbents

There were 47,500 full-time paid incumbents at the end of September, representing an increase of 246 from the end of August and an increase of 349 from December 2015 (excluding 164 December temporary paid incumbents).

RIDERSHIP RESULTS

September 2016 Ridership vs. Forecast - (millions)

	September				September Year-to-Date			
	Preliminary		More/(Less)		Preliminary		More/(Less)	
	Forecast	Actual	Amount	Percent	Forecast	Actual	Amount	Percent
Subway	150.3	148.5	(1.8)	(1.2%)	1,315.8	1,311.6	(4.2)	(0.3%)
NYCT Bus	55.8	54.8	(1.0)	(1.8%)	480.5	480.6	0.2	0.0%
Subtotal	206.1	203.3	(2.8)	(1.4%)	1,796.3	1,792.2	(4.1)	(0.2%)
Paratransit	0.8	0.7	(0.0)	(1.5%)	6.7	6.7	0.0	0.5%
Total - NYCT	206.9	204.1	(2.8)	(1.4%)	1,803.0	1,798.9	(4.0)	(0.2%)
MTA Bus Company	10.8	10.9	0.1	0.5%	93.1	94.3	1.1	1.2%
<i>Total - Regional Bus</i>	<i>66.7</i>	<i>65.7</i>	<i>(0.9)</i>	<i>(1.4%)</i>	<i>573.6</i>	<i>574.9</i>	<i>1.3</i>	<i>0.2%</i>

Notes: Totals may not add due to rounding.

- Negative ridership variances for September were partially due to student ridership that was 8.9 percent below forecast on subways and 7.9 percent lower on buses.

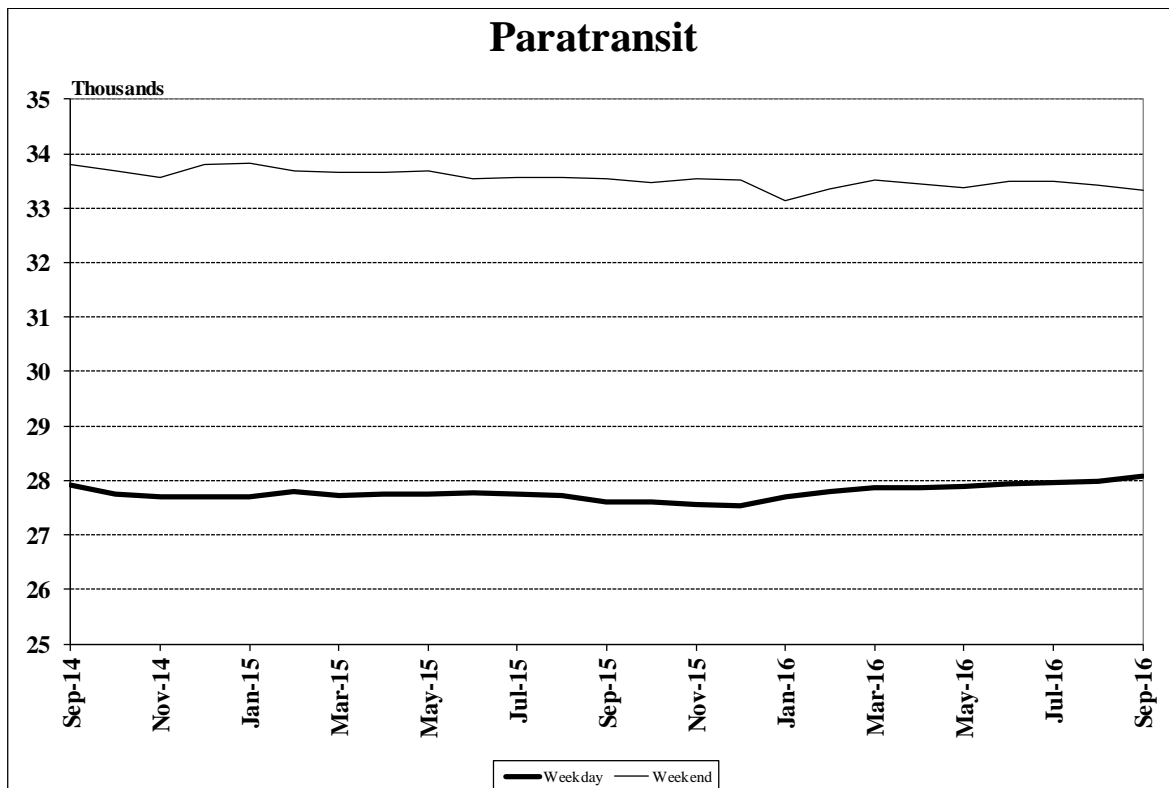
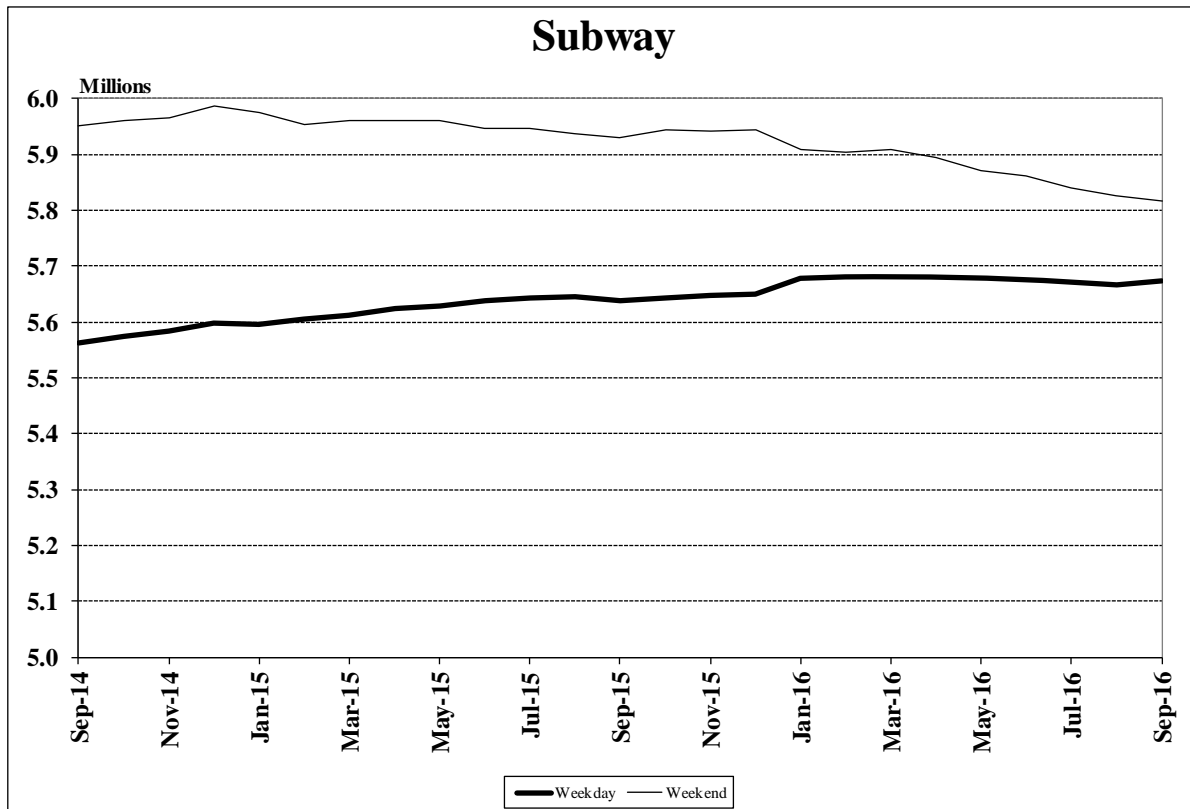
September Average Weekday and Weekend Ridership vs. Prior Year								
<u>Month</u>	Average Weekday (thousands)				Average Weekend (thousands)			
	Preliminary		Change		Preliminary		Change	
	2015	2016	Amount	Percent	2015	2016	Amount	Percent
Subway	5,707	5,815	+108	+1.9%	6,066	5,929	-137	-2.3%
NYCT Local Bus	2,067	2,086	+18	+0.9%	2,359	2,288	-71	-3.0%
NYCT Express Bus	40	42	+1	+3.0%	13	14	+1	+5.8%
Paratransit	27	28	+1	+4.0%	35	34	-1	-3.4%
TOTAL - NYCT	7,842	7,971	+128	+1.6%	8,472	8,264	-209	-2.5%
MTABC Local Bus	387	399	+13	+3.2%	412	416	+4	+1.0%
MTABC Express Bus	29	29	+0	+1.0%	13	12	-1	-7.4%
Total - MTA Bus	416	429	+13	+3.1%	425	428	+3	+0.8%
<i>Total - Regional Bus</i>	<i>2,523</i>	<i>2,556</i>	<i>32</i>	<i>+1.3%</i>	<i>2,797</i>	<i>2,730</i>	<i>-67</i>	<i>-2.4%</i>
12-Month Rolling Average								
Subway	5,638	5,675	+37	+0.7%	5,930	5,816	-115	-1.9%
Local Bus	2,041	2,021	-20	-1.0%	2,272	2,197	-75	-3.3%
Express Bus	41	41	-0	-0.2%	12	12	+0	+2.2%
Paratransit	28	28	+0	+1.7%	34	33	-0	-0.7%
TOTAL - NYCT	7,747	7,764	+17	+0.2%	8,248	8,059	-189	-2.3%
MTABC Local Bus	377	380	+3	+0.8%	391	391	-1	-0.2%
MTABC Express Bus	31	29	-1	-3.6%	12	12	-1	-4.2%
Total - MTA Bus	407	409	+2	+0.5%	404	403	-1	-0.3%
<i>Total - Regional Bus</i>	<i>2,489</i>	<i>2,471</i>	<i>-18</i>	<i>-0.7%</i>	<i>2,688</i>	<i>2,612</i>	<i>-76</i>	<i>-2.8%</i>

Notes: Totals may not add due to rounding. Percentages are based on unrounded figures.

- Weekday ridership increases from September 2015 to September 2016 were mainly due to calendar differences: there were four weekdays before Labor Day in September 2015 compared to two in September 2016 (ridership on the weekdays before Labor Day is significantly lower than after), and Rosh Hashanah and Yom Kippur, which are school holidays, fell in September 2015 and in October 2016. Including only school days, average weekday subway ridership decreased by less than 0.1 percent and bus ridership decreased 0.7 percent from September 2015 to September 2016.
- Seven weekdays in September 2016 had more than six million subway riders.

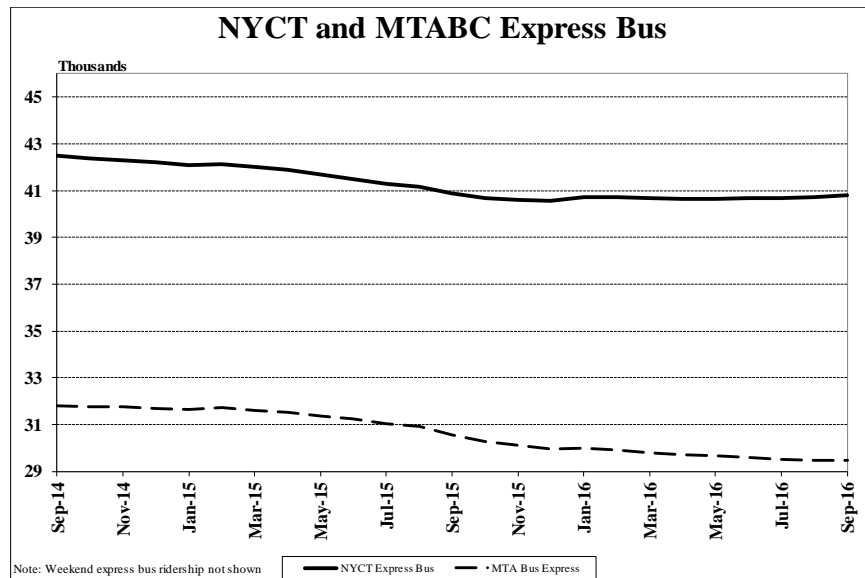
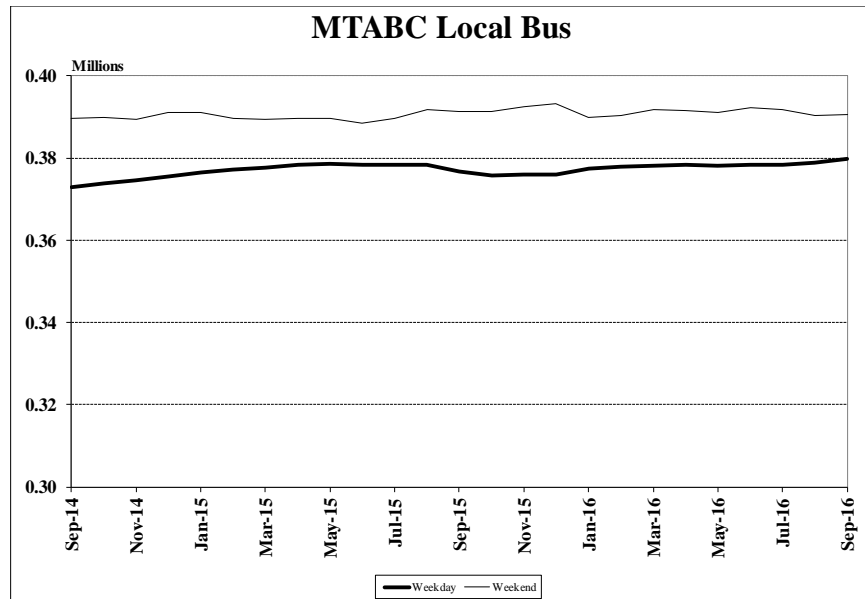
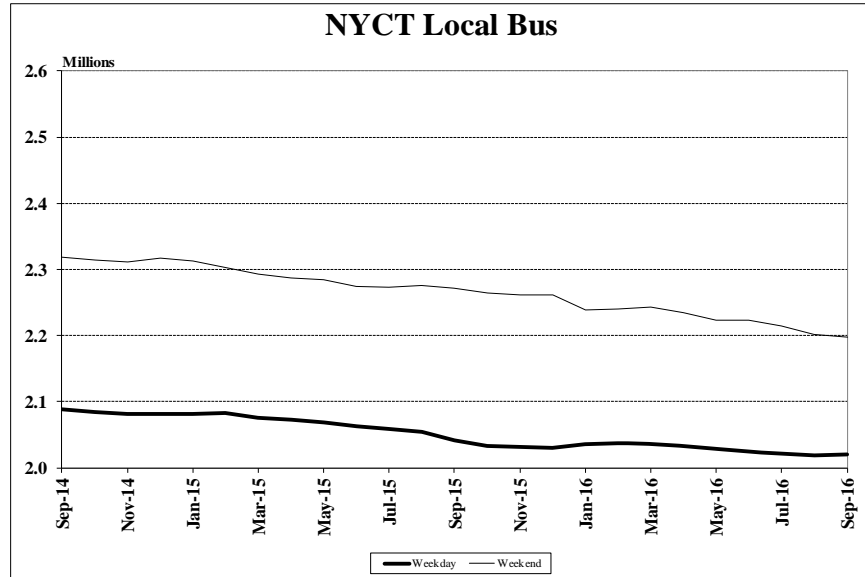
Average Weekday and Weekend Ridership

12-Month Rolling Averages



Average Weekday and Weekend Ridership

12-Month Rolling Averages



Ridership on New York Area Transit Services

From September 2015 to September 2016, weekday ridership on all area services increased (except Metro-North Railroad, down 3.5 percent), likely due to a favorable calendar in September 2016. Weekend ridership had mixed results, with MTA Express Bus experiencing a 7.4 percent decline, while Staten Island Railway posted a 21.9 percent increase, due to a service change in September 2015.

Bridges and Tunnels traffic increased on both weekdays and weekends.

Ridership on Transit Services in the New York Area (thousands)				
Transit Service	Sep-15	Preliminary Sep-16	Percent Change	12-Month Rolling Average Percent Change
<u>Average Weekday</u>				
NYCT Subway	5,707	5,815	+1.9%	+0.7%
NYCT Local Bus	2,067	2,086	+0.9%	-1.0%
NYCT Express Bus	40	42	+3.0%	-0.2%
NYCT Paratransit	27	28	+4.0%	+1.7%
Staten Island Railway	17	17	+3.2%	+3.2%
MTA Local Bus	387	399	+3.2%	+0.8%
MTA Express Bus	29	29	+1.0%	-3.6%
Long Island Rail Road	313	319	+1.8%	+2.2%
Metro-North Railroad	292	281	-3.5%	-1.3%
PATH	269	278	+3.4%	+4.8%
<u>Average Weekend</u>				
NYCT Subway	6,066	5,929	-2.3%	-1.9%
NYCT Local Bus	2,359	2,288	-3.0%	-3.3%
NYCT Express Bus	13	14	+5.8%	+2.2%
NYCT Paratransit	35	34	-3.4%	-0.7%
Staten Island Railway	7	9	+21.9%	-2.9%
MTA Local Bus	412	416	+1.0%	-0.2%
MTA Express Bus	13	12	-7.4%	-4.2%
Long Island Rail Road	202	199	-1.5%	+0.4%
Metro-North Railroad	243	232	-4.3%	-0.1%
PATH	220	192	-12.5%	+0.5%

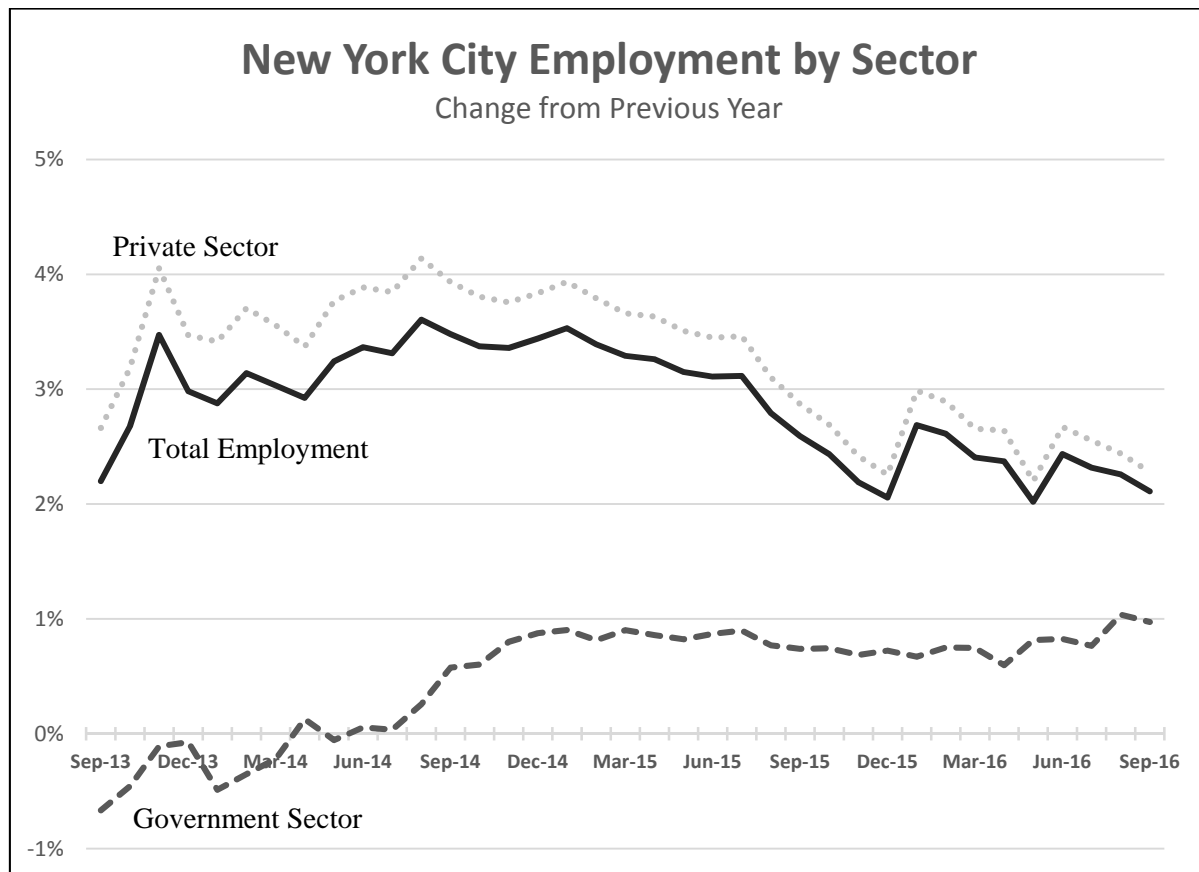
MTA Bridges and Tunnels (thousands)				
Average Weekday	851	890	+4.6%	+4.6%
Average Weekend	1,641	1,664	+1.4%	+3.0%

Note: Percentages are based on unrounded data.

Economy

From September 2015 to September 2016, New York City employment increased 2.1 percent (89,100 jobs). Private sector employment increased 2.3 percent (83,800 jobs) and government employment increased 1.0 percent (5,300 jobs). Nearly all of the private employment sub-sectors increased over the prior year, with the exception of the financial activities sub-sector (down 0.2 percent or 1,100 jobs). The sub-sector with the largest absolute increase was educational & health services (up 26,500 jobs or 3.1 percent), while the largest percentage increase was in the leisure and hospitality sub-sector (up 5.8 percent or 24,900 jobs).

As shown in the graph below, the year-over-year percent change in government sector employment has steadily increased over the past three years. The year-over-year growth in the sector broke the 1.0 percent mark in August 2016 for the first time since August 2011. While this growth is notable, the government sector currently accounts for 12.8 percent of total New York City employment (549,900 jobs), down from around 15% in the years before the Great Recession.



MTA NEW YORK CITY TRANSIT
sep - 2016 Mid_Year
Accrual Statement of Operations By Category
Month - sep 2016
(\$ in Millions)

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	Nonreimbursable				Reimbursable				Total			
			Var Percent				Favorable (Unfavorable)				Favorable (Unfavorable)	
	Forecast Mid_Year	Actual	Variance	Percent	Forecast Mid_Year	Actual	Variance	Percent	Forecast Mid_Year	Actual	Variance	Percent
Revenue												
Farebox Revenue:												
Subway	\$284.023	\$287.793	\$3.770	1.3	\$0.000	\$0.000	-	-	\$284.023	\$287.793	\$3.770	1.3
Bus	\$82.796	\$84.298	\$1.502	1.8	\$0.000	\$0.000	-	-	\$82.796	\$84.298	\$1.502	1.8
Paratransit	\$1.522	\$1.487	(0.035)	(2.3)	\$0.000	\$0.000	-	-	\$1.522	\$1.487	(0.035)	(2.3)
Fare Liability	\$6.905	\$6.905	\$0.000	0.0	\$0.000	\$0.000	-	-	\$6.905	\$6.905	\$0.000	0.0
Farebox Revenue	\$375.246	\$380.482	\$5.237	1.4	\$0.000	\$0.000	-	-	\$375.246	\$380.482	\$5.237	1.4
Fare Reimbursement	\$6.477	\$6.477	\$0.000	0.0	\$0.000	\$0.000	-	-	\$6.477	\$6.477	\$0.000	0.0
Paratransit Reimbursement	\$15.141	\$14.615	(0.526)	(3.5)	\$0.000	\$0.000	-	-	\$15.141	\$14.615	(0.526)	(3.5)
Other Operating Revenue	\$15.460	\$15.870	\$0.410	2.7	\$0.000	\$0.000	-	-	\$15.460	\$15.870	\$0.410	2.7
Other Revenue	\$37.078	\$36.982	(0.116)	(0.3)	\$0.000	\$0.000	-	-	\$37.078	\$36.982	(0.116)	(0.3)
Capital and Other Reimbursements	\$0.000	\$0.000	-	-	\$93.528	\$111.396	\$17.868	19.1	\$93.528	\$111.396	\$17.868	19.1
Total Revenue	\$412.324	\$417.445	\$5.121	1.2	\$93.528	\$111.396	\$17.868	19.1	\$506.851	\$528.840	\$22.989	4.5
Expenses												
Labor :												
Payroll	\$263.681	\$251.932	\$11.750	4.5	\$38.885	\$43.328	(4.443)	(11.4)	\$302.566	\$295.259	\$7.307	2.4
Overtime	\$35.367	\$42.011	(6.644)	(18.8)	\$7.481	\$10.876	(3.395)	(45.4)	\$42.848	\$52.887	(10.039)	(23.4)
Total Salaries & Wages	\$299.048	\$293.943	\$5.105	1.7	\$46.366	\$54.203	(7.838)	(16.9)	\$345.414	\$348.146	(2.732)	(0.8)
Health and Welfare	\$68.739	\$66.918	\$1.821	2.6	\$1.827	\$1.609	\$0.218	11.9	\$70.566	\$68.527	\$2.039	2.9
OPEB Current Payment	\$35.455	\$39.427	(3.971)	(11.2)	\$0.744	\$0.630	\$0.113	15.2	\$36.199	\$40.057	(3.858)	(10.7)
Pensions	\$77.231	\$78.926	(1.695)	(2.2)	\$2.772	\$2.835	(0.063)	(2.3)	\$80.003	\$81.761	(1.758)	(2.2)
Other Fringe Benefits	\$37.593	\$34.377	\$3.216	8.6	\$14.475	\$17.920	(3.445)	(23.8)	\$52.069	\$52.297	(0.229)	(0.4)
Total Fringe Benefits	\$219.018	\$219.647	(0.629)	(0.3)	\$19.819	\$22.995	(3.176)	(16.0)	\$238.837	\$242.642	(3.805)	(1.6)
Contribution to GASB Fund	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Reimbursable Overhead	(18.435)	(21.878)	\$3.443	18.7	\$18.435	\$21.878	(3.443)	(18.7)	\$0.000	\$0.000	\$0.000	22.9
Labor	\$499.632	\$491.712	\$7.920	1.6	\$84.619	\$99.076	(14.457)	(17.1)	\$584.251	\$590.788	(6.537)	(1.1)
Non-Labor :												
Electric Power	\$22.120	\$27.080	(4.960)	(22.4)	\$0.020	\$0.060	(0.040)	-	\$22.140	\$27.140	(5.000)	(22.6)
Fuel	\$5.659	\$2.916	\$2.743	48.5	\$0.000	(0.115)	\$0.115	-	\$5.659	\$2.801	\$2.858	50.5
Insurance	\$6.208	\$6.067	\$0.141	2.3	\$0.000	\$0.000	-	-	\$6.208	\$6.067	\$0.141	2.3
Claims	\$12.095	\$26.292	(14.197)	-	\$0.000	\$0.000	-	-	\$12.095	\$26.292	(14.197)	-
Paratransit Service Contracts	\$32.053	\$32.956	(0.903)	(2.8)	\$0.000	\$0.000	-	-	\$32.053	\$32.956	(0.903)	(2.8)
Maintenance and Other Operating Contracts	\$20.490	\$16.429	\$4.061	19.8	\$2.613	\$4.756	(2.142)	(82.0)	\$23.103	\$21.185	\$1.918	8.3
Professional Service Contracts	\$11.486	\$10.656	\$0.829	7.2	\$0.850	\$0.838	\$0.012	1.4	\$12.335	\$11.494	\$0.841	6.8
Materials & Supplies	\$25.821	\$23.476	\$2.346	9.1	\$6.254	\$6.514	(1.260)	(24.0)	\$31.075	\$29.990	\$1.085	3.5
Other Business Expenses	\$6.763	\$6.582	\$0.181	2.7	\$0.171	\$0.267	(0.096)	(55.8)	\$6.935	\$6.849	\$0.085	1.2
Non-Labor	\$142.696	\$152.455	(9.759)	(6.8)	\$8.909	\$12.319	(3.411)	(38.3)	\$151.605	\$164.775	(13.170)	(8.7)
Other Expense Adjustments:												
Other	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Other Expense Adjustments	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Total Expenses before Depreciation and OPEB	\$642.329	\$644.168	(1.839)	(0.3)	\$93.528	\$111.396	(17.868)	(19.1)	\$736.856	\$755.563	(19.707)	(2.7)
Depreciation	\$147.311	\$136.775	\$10.536	7.2	\$0.000	\$0.000	-	-	\$147.311	\$136.775	\$10.536	7.2
OPEB Liability	\$389.817	\$280.103	\$109.715	28.1	\$0.000	\$0.000	-	-	\$389.817	\$280.103	\$109.715	28.1
GASB 68 Pension Adjustment	\$0.000	(14.504)	\$14.504	-	\$0.000	\$0.000	-	-	\$0.000	(14.504)	\$14.504	-
Environmental Remediation	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	\$0.000	-
Total Expenses	\$1,179.457	\$1,046.542	\$132.915	11.3	\$93.528	\$111.396	(17.868)	(19.1)	\$1,272.985	\$1,157.937	\$115.048	9.0
OPERATING SURPLUS/DEFICIT	(767.134)	(629.097)	\$138.037	18.0	\$0.000	\$0.000	\$0.000	-	(767.134)	(629.097)	\$138.037	18.0

Note: Totals may not add due to rounding

Note: Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

MTA NEW YORK CITY TRANSIT
sep - 2016 Mid_Year
Accrual Statement of Operations By Category
Year-To-Date - sep 2016
(\$ in Millions)

10/25/2016 05:21 PM

	Nonreimbursable				Reimbursable				Total			
			Var Percent				Favorable (Unfavorable)				Favorable (Unfavorable)	
	Forecast Mid Year	Actual	Variance	Percent	Forecast Mid Year	Actual	Variance	Percent	Forecast Mid Year	Actual	Variance	Percent
Revenue												
Farebox Revenue:												
Subway	\$2,493.988	\$2,497.770	\$3.782	0.2	\$0.000	\$0.000	-	-	\$2,493.988	\$2,497.770	\$3.782	0.2
Bus	\$723.066	\$728.525	\$5.458	0.8	\$0.000	\$0.000	-	-	\$723.066	\$728.525	\$5.458	0.8
Paratransit	\$13.752	\$13.709	(0.042)	(0.3)	\$0.000	\$0.000	-	-	\$13.752	\$13.709	(0.042)	(0.3)
Fare Liability	\$52.785	\$52.785	\$0.000	0.0	\$0.000	\$0.000	-	-	\$52.785	\$52.785	\$0.000	0.0
Farebox Revenue	\$3,283.591	\$3,292.789	\$9.198	0.3	\$0.000	\$0.000	-	-	\$3,283.591	\$3,292.789	\$9.198	0.3
Fare Reimbursement	\$58.824	\$58.823	(0.001)	0.0	\$0.000	\$0.000	-	-	\$58.824	\$58.823	(0.001)	0.0
Paratransit Reimbursement	\$139.386	\$136.146	(3.240)	(2.3)	\$0.000	\$0.000	-	-	\$139.386	\$136.146	(3.240)	(2.3)
Other Operating Revenue	\$122.546	\$116.798	(5.748)	(4.7)	\$0.000	\$0.000	-	-	\$122.546	\$116.798	(5.748)	(4.7)
Other Revenue	\$320.755	\$311.767	(8.988)	(2.8)	\$0.000	\$0.000	-	-	\$320.755	\$311.767	(8.988)	(2.8)
Capital and Other Reimbursements	\$0.000	\$0.000	-	-	\$854.355	\$885.342	\$30.987	3.6	\$854.355	\$885.342	\$30.987	3.6
Total Revenue	\$3,604.346	\$3,604.556	\$0.210	0.0	\$854.355	\$885.342	\$30.987	3.6	\$4,458.702	\$4,489.899	\$31.197	0.7
Expenses												
Labor:												
Payroll	\$2,379.376	\$2,359.532	\$19.844	0.8	\$334.548	\$332.023	\$2.526	0.8	\$2,713.925	\$2,691.555	\$22.370	0.8
Overtime	\$330.940	\$343.285	(12.344)	(3.7)	\$92.251	\$107.691	(15.440)	(16.7)	\$423.191	\$450.976	(27.785)	(6.6)
Total Salaries & Wages	\$2,710.316	\$2,702.817	\$7.500	0.3	\$426.799	\$439.714	(12.915)	(3.0)	\$3,137.115	\$3,142.531	(5.415)	(0.2)
Health and Welfare	\$596.181	\$608.660	(12.479)	(2.1)	\$16.133	\$16.514	(0.382)	(2.4)	\$612.314	\$625.175	(12.860)	(2.1)
OPEB Current Payment	\$312.674	\$323.369	(10.694)	(3.4)	\$6.695	\$5.898	\$0.797	11.9	\$319.369	\$329.267	(9.898)	(3.1)
Pensions	\$402.172	\$407.309	(5.137)	(1.3)	\$15.850	\$15.973	(0.123)	(0.8)	\$418.022	\$423.282	(5.260)	(1.3)
Other Fringe Benefits	\$322.990	\$404.555	(81.565)	(25.3)	\$130.457	\$134.023	(3.566)	(2.7)	\$453.447	\$538.578	(85.132)	(18.8)
Total Fringe Benefits	\$1,634.018	\$1,743.893	(109.875)	(6.7)	\$169.134	\$172.408	(3.274)	(1.9)	\$1,803.152	\$1,916.301	(113.149)	(6.3)
Contribution to GASB Fund	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Reimbursable Overhead	(180.247)	(188.848)	\$8.601	4.8	\$180.247	\$188.848	(8.601)	(4.8)	\$0.000	\$0.000	\$0.000	(60.7)
Labor	\$4,164.087	\$4,257.861	(93.774)	(2.3)	\$776.180	\$800.970	(24.790)	(3.2)	\$4,940.267	\$5,058.832	(118.564)	(2.4)
Non-Labor:												
Electric Power	\$190.533	\$192.420	(1.887)	(1.0)	\$0.189	\$0.386	(0.197)	-	\$190.722	\$192.805	(2.083)	(1.1)
Fuel	\$60.172	\$57.891	\$2.281	3.8	\$0.000	\$0.016	(0.016)	-	\$60.172	\$57.907	\$2.266	3.8
Insurance	\$54.522	\$55.252	(0.730)	(1.3)	\$0.000	\$0.000	-	-	\$54.522	\$55.252	(0.730)	(1.3)
Claims	\$108.859	\$108.856	\$0.003	0.0	\$0.000	\$0.000	-	-	\$108.859	\$108.856	\$0.003	0.0
Paratransit Service Contracts	\$292.596	\$287.535	\$5.061	1.7	\$0.000	\$0.000	-	-	\$292.596	\$287.535	\$5.061	1.7
Maintenance and Other Operating Contracts	\$173.517	\$172.127	\$1.390	0.8	\$23.879	\$27.263	(3.384)	(14.2)	\$197.396	\$199.390	(1.994)	(1.0)
Professional Service Contracts	\$92.865	\$86.305	\$6.560	7.1	\$7.187	\$9.561	(2.374)	(33.0)	\$100.052	\$95.866	\$4.186	4.2
Materials & Supplies	\$242.186	\$237.783	\$4.403	1.8	\$47.453	\$46.597	\$0.856	1.8	\$289.638	\$284.380	\$5.259	1.8
Other Business Expenses	\$59.689	\$57.106	\$2.583	4.3	(0.533)	\$0.550	(1.083)	-	\$59.156	\$57.655	\$1.501	2.5
Non-Labor	\$1,274.939	\$1,255.275	\$19.664	1.5	\$78.175	\$84.372	(6.197)	(7.9)	\$1,353.114	\$1,339.847	\$13.468	1.0
Other Expense Adjustments:												
Other	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Other Expense Adjustments	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Total Expenses before Depreciation and OPEB	\$5,439.026	\$5,513.136	(74.110)	(1.4)	\$854.356	\$885.342	(30.987)	(3.6)	\$6,293.382	\$6,398.479	(105.097)	(1.7)
Depreciation	\$1,278.477	\$1,240.234	\$38.243	3.0	\$0.000	\$0.000	-	-	\$1,278.477	\$1,240.234	\$38.243	3.0
OPEB Liability	\$1,053.544	\$892.531	\$161.012	15.3	\$0.000	\$0.000	-	-	\$1,053.544	\$892.531	\$161.012	15.3
GASB 68 Pension Adjustment	\$340.681	\$257.462	\$83.219	24.4	\$0.000	\$0.000	-	-	\$340.681	\$257.462	\$83.219	24.4
Environmental Remediation	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	\$0.000	-
Total Expenses	\$8,111.728	\$7,903.363	\$208.365	2.6	\$854.356	\$885.342	(30.987)	(3.6)	\$8,966.084	\$8,788.705	\$177.378	2.0
OPERATING SURPLUS/DEFICIT	(4,507.382)	(4,298.807)	\$208.575	4.6	\$0.000	\$0.000	\$0.000	-	(4,507.382)	(4,298.807)	\$208.575	4.6

Note: Totals may not add due to rounding

Note: Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current month's actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

MTA NEW YORK CITY TRANSIT
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL ACCRUAL BASIS
September 2016
(\$ in millions)

Generic Revenue or Expense Category	Nonreimb or Reimb	MONTH			YEAR TO DATE		
		Favorable (Unfavorable) Variance		Reason for Variance	Favorable (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Farebox Revenue	NR	5.2	1.4	Mainly higher than forecasted third quarter pass average fares.	9.2	0.3	Principally favorable pass average fare adjustments not anticipated in the forecast, partly offset by lower subway ridership.
Other Operating Revenue	NR				(9.0)	(2.8)	Largely lower advertising and paratransit Urban Tax revenues
Payroll	NR	11.8	4.5	Mainly vacancies and the favorable timing of expenses	19.8	0.8	Mainly vacancies and the favorable timing of expenses
Overtime	NR	(6.6)	(18.8)	Overrun due to continued signals maintenance requirements, subway service delays and overcrowding and vacancy/absentee coverage requirements	(12.3)	(3.7)	Overrun due to subway service delays and overcrowding, vacancy/absentee coverage requirements, and continued signals maintenance requirements
Health & Welfare (including OPEB current payment)	NR	(2.2)	(2.3)	Due primarily to the timing of expenses	(23.2)	(2.6)	Due primarily to unfavorable rates and the timing of expenses
Pension	NR	(1.7)	(2.2)	Mostly a MaBSTOA expense overrun, which is now accounted for in the November Forecast	(5.1)	(1.3)	Mostly a MaBSTOA expense overrun, which is now accounted for in the November Forecast
Other Fringe Benefits	NR	3.2	8.6	Mainly favorable direct overhead credits, resulting from higher reimbursable labor requirements	(81.6)	(25.3)	Due mostly to additional Workers' Compensation reserve requirements, based on an actuarial update that reflects, among other things, higher statutory weekly payments, higher medical costs and an increase in the volume of claims
Reimbursable Overhead	NR	3.4	18.7	Favorable overhead credits, due to higher reimbursable labor requirements	8.6	4.8	Favorable overhead credits, due to higher reimbursable overtime requirements
Electric Power	NR	(5.0)	(22.4)	Mainly the unfavorable timing of expenses/billing adjustments and higher consumption	(1.9)	(1.0)	Primarily from the unfavorable timing of expenses/billing adjustments, partly offset by lower prices
Fuel	NR	2.7	48.5	Largely the favorable timing of expenses, partly offset by higher consumption	2.3	3.8	Largely the favorable timing of expenses, partly offset by higher consumption and prices
Insurance	NR				(0.7)	(1.3)	The unfavorable timing of interagency billing/payments
Claims	NR	(14.2)	n/a	Primarily a catch-up to accrue forecasted claims expenses, subject to adjustment based on an actuarial update to be completed later in the year			

MTA NEW YORK CITY TRANSIT
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL ACCRUAL BASIS
September 2016
(\$ in millions)

Generic Revenue or Expense Category	Nonreimb or Reimb	MONTH			YEAR TO DATE		
		Favorable (Unfavorable) Variance		Reason for Variance	Favorable (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Paratransit Service Contracts	NR				5.1	1.7	Due principally to the favorable timing of expenses
Maintenance and Other Operating Contracts	NR	4.1	19.8	Mainly the favorable timing of subway car-related maintenance, auto purchases, building-related expenses and maintenance service expenses	1.4	0.8	Mainly the favorable timing of subway car-related maintenance, building-related expenses, and lower painting expenses, partly offset by higher revenue vehicle maintenance contract expenses
Professional Service Contracts	NR	0.8	7.2	Primarily the favorable timing of office-related equipment & Information Technology-related expenses, partly offset by the unfavorable timing of bond services expenses	6.6	7.1	Primarily the favorable timing of bond service and various professional service contract account expenses
Materials & Supplies	NR	2.3	9.1	Primarily favorable inventory/obsolescence adjustments.	4.4	1.8	Primarily favorable inventory/obsolescence adjustments and increased scrap/surplus sales
Other Business Expenses	NR	0.2	2.7	The favorable timing of miscellaneous credits/debits	2.6	4.3	The favorable timing of miscellaneous credits/debits
Capital and Other Reimbursements	R	17.9	19.1	Increased reimbursements consistent with an increase in reimbursable expenses	31.0	3.6	Increased reimbursements consistent with an increase in reimbursable expenses
Payroll	R	(4.4)	(11.4)	Mainly the unfavorable timing of capital engineering project requirements			
Overtime	R	(3.4)	(45.4)	Mainly due to Subways Capital Track Program work which is concentrated on weekends to take advantage of track availability, and other Capital Program support	(15.4)	(16.7)	Mainly due to Subways Capital Track Program work which is concentrated on weekends to take advantage of track availability, and other Capital Program support
Maintenance Contracts	R	(2.1)	(82.0)	Largely the unfavorable timing of construction services and building-related expenses	(3.4)	(14.2)	Largely the unfavorable timing of maintenance services expenses
Professional Service Contracts	R				(2.4)	(33.0)	Primarily the unfavorable timing of various professional service contract requirements
Materials & Supplies	R	(1.3)	(24.0)	Mainly the unfavorable timing of non-vehicle maintenance material requirements	0.9	1.8	Mainly the favorable timing of maintenance material requirements

MTA NEW YORK CITY TRANSIT
July Financial Plan - 2016 Mid_Year
Cash Receipts and Expenditures
sep FY16
(\$ in Millions)

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	Month				Year-To-Date			
	Forecast Mid_Year	Actual	Favorable (Unfavorable) Variance	Percent	Forecast Mid_Year	Actual	Favorable (Unfavorable) Variance	Percent
<u>Receipts</u>								
Farebox Revenue	\$372.898	\$383.816	\$10.918	2.9	\$3,282.319	\$3,331.715	\$49.396	1.5
Fare Reimbursement	\$0.000	\$0.000	\$0.000	-	\$71.393	\$71.426	\$0.033	0.0
Paratransit Reimbursement	\$35.732	\$35.057	\$(3.675)	(91.4)	\$139.905	\$143.697	\$3.792	2.7
Other Operating Revenue	\$3.614	\$4.161	\$0.547	15.1	\$32.022	\$32.994	\$0.972	3.0
Other Revenue	\$39.346	\$7.218	\$(32.128)	(81.7)	\$243.319	\$248.117	\$4.798	2.0
Capital and Other Reimbursements	\$83.528	\$69.930	\$(13.598)	(16.3)	\$752.766	\$765.891	\$13.125	1.7
Total Revenue	\$495.772	\$460.964	\$(34.808)	(7.0)	\$4,278.405	\$4,345.723	\$67.318	1.6
<u>Expenditures</u>								
<u>Labor :</u>								
Payroll	\$290.865	\$278.997	\$11.868	4.1	\$2,629.480	\$2,606.238	\$23.242	0.9
Overtime	\$42.848	\$52.887	\$(10.039)	(23.4)	\$423.191	\$450.976	\$(27.785)	(6.6)
Total Salaries & Wages	\$333.713	\$331.884	\$1.829	0.5	\$3,052.671	\$3,057.214	\$(4.543)	(0.1)
Health and Welfare	\$70.566	\$77.236	\$(6.670)	(9.5)	\$612.314	\$631.445	\$(19.131)	(3.1)
OPEB Current Payment	\$36.199	\$40.057	\$(3.858)	(10.7)	\$319.369	\$329.267	\$(9.898)	(3.1)
Pensions	\$80.003	\$81.751	\$(1.748)	(2.2)	\$758.704	\$763.840	\$(5.136)	(0.7)
Other Fringe Benefits	\$38.768	\$36.330	\$2.438	6.3	\$344.442	\$342.506	\$1.936	0.6
Total Fringe Benefits	\$225.536	\$235.374	\$(9.838)	(4.4)	\$2,034.830	\$2,067.058	\$(32.228)	(1.6)
Contribution to GASB Fund	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Reimbursable Overhead	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Labor	\$559.250	\$567.258	\$(8.008)	(1.4)	\$5,087.501	\$5,124.272	\$(36.771)	(0.7)
<u>Non-Labor :</u>								
Electric Power	\$22.140	\$22.334	\$(0.194)	(0.9)	\$190.722	\$187.564	\$3.158	1.7
Fuel	\$5.659	\$8.081	\$(2.422)	(42.8)	\$60.172	\$58.279	\$1.893	3.1
Insurance	\$8.061	\$4.360	\$3.701	45.9	\$60.003	\$62.342	\$(2.339)	(3.9)
Claims	\$9.207	\$11.518	\$(2.311)	(25.1)	\$82.863	\$96.668	\$(13.805)	(16.7)
Paratransit Service Contracts	\$32.053	\$24.916	\$7.137	22.3	\$290.596	\$281.244	\$9.352	3.2
Maintenance and Other Operating Contracts	\$23.103	\$24.748	\$(1.645)	(7.1)	\$200.696	\$190.459	\$10.237	5.1
Professional Service Contracts	\$12.335	\$11.172	\$1.163	9.4	\$109.172	\$130.494	\$(21.322)	(19.5)
Materials & Supplies	\$23.075	\$25.517	\$(2.442)	(10.6)	\$273.415	\$274.247	\$(0.832)	(0.3)
Other Business Expenses	\$6.935	\$7.492	\$(0.557)	(8.0)	\$59.156	\$66.171	\$(7.015)	(11.9)
Non-Labor	\$142.570	\$140.138	\$2.432	1.7	\$1,326.796	\$1,347.468	\$(20.672)	(1.6)
<u>Other Expense Adjustments:</u>								
Other	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Other Expense Adjustments	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Total Expenditures before Depreciation and OPEB	\$701.820	\$707.396	\$(5.576)	(0.8)	\$6,414.297	\$6,471.740	\$(57.443)	(0.9)
Depreciation	\$0.000	\$0.000	\$0.000	-	\$0.001	\$0.000	\$0.001	-
OPEB Liability	\$0.000	\$0.000	\$0.000	-	\$0.001	\$0.000	\$0.001	-
GASB 68 Pension Adjustment	\$0.000	\$0.000	\$0.000	-	\$0.001	\$0.000	\$0.001	-
Environmental Remediation	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures	\$701.820	\$707.396	\$(5.576)	(0.8)	\$6,414.300	\$6,471.740	\$(57.440)	(0.9)
Net Surplus/(Deficit)	(206.049)	(246.432)	(40.383)	(19.6)	(2,135.895)	(2,126.017)	\$9.878	0.5

Note: Totals may not add due to rounding

Table 5

MTA NEW YORK CITY TRANSIT
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN THE MID-YEAR FORECAST AND ACTUAL CASH BASIS
September 2016
(\$ in millions)

Operating Receipts or Disbursements	MONTH			YEAR TO DATE		
	Favorable (Unfavorable) Variance		Reason for Variance	Favorable (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Farebox Receipts	10.9	2.9	Mostly the favorable timing of receipts	49.4	1.5	Primarily the favorable timing of receipts
Other Operating Receipts	(32.1)	(81.7)	Primarily the unfavorable timing of NYC partial reimbursement of paratransit expenses	4.8	2.0	Due principally to the favorable timing of NYC partial reimbursement of paratransit expenses
Capital and Other Reimbursements	(13.6)	(16.3)	Largely the unfavorable timing of capital reimbursements, partly offset by increased reimbursements due to higher reimbursable expenses	13.1	1.7	Increased reimbursements due to higher reimbursable expenses, partly offset by the unfavorable timing of capital reimbursements
Health & Welfare (including OPEB current payment)	(10.6)	(9.9)	Primarily the unfavorable timing of payments	(29.0)	(3.1)	Primarily higher rates, and the unfavorable timing of expenses and payments
Electric Power				3.2	1.7	Primarily the favorable timing of payments
Insurance	3.7	45.9	Largely the favorable timing of interagency payments	(2.3)	(3.9)	Largely the unfavorable timing of interagency payments
Claims	(2.3)	(25.1)	Increased payments, in part due to timing	(13.8)	(16.7)	Increased payments, in part due to timing
Paratransit Service Contracts	7.1	22.3	Due principally to the favorable timing of payments	9.4	3.2	Expense savings and the favorable timing of payments
Maintenance Contracts				10.2	5.1	Mainly the favorable timing of payments
Professional Service Contracts				(21.3)	(19.5)	Primarily the unfavorable timing of payments, partly offset by expense savings
Materials & Supplies	(2.4)	(10.6)	Mainly the unfavorable timing of payments			

MTA NEW YORK CITY TRANSIT
July Financial Plan - 2016 Mid_Year
Cash Conversion (Cash Flow Adjustments)
 sep FY16
 (\$ in Millions)

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	Month				Year-To-Date			
	Forecast Mid_Year	Actual	Favorable (Unfavorable)		Forecast Mid_Year	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
Revenue								
Farebox Revenue	(2,348)	\$3,334	\$5,681	-	(1,272)	\$38,926	\$40,198	-
Fare Reimbursement	(6,477)	(6,477)	\$0.000	0.0	\$12,569	\$12,603	\$0.034	0.3
Paratransit Reimbursement	\$20,591	(11,558)	(32,149)	-	\$0,519	\$7,551	\$7,032	-
Other Operating Revenue	(11,846)	(11,709)	\$0,137	1.2	(90,524)	(83,804)	\$6,720	7.4
Other Revenue	\$2,288	(29,744)	(32,012)	-	(77,436)	(63,650)	\$13,786	17.8
Capital and Other Reimbursements	(10,000)	(41,466)	(31,466)	-	(101,589)	(119,451)	(17,862)	(17.6)
Total Revenue	(10,080)	(67,876)	(57,797)	-	(180,297)	(144,176)	\$36,121	20.0
Expenses								
Labor :								
Payroll	\$11,701	\$16,262	\$4,562	39.0	\$84,444	\$85,317	\$0,872	1.0
Overtime	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Salaries & Wages	\$11,701	\$16,262	\$4,562	39.0	\$84,444	\$85,317	\$0,872	1.0
Health and Welfare	\$0,000	(8,709)	(8,709)	-	\$0,000	(6,271)	(6,271)	-
OPEB Current Payment	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Pensions	\$0,000	\$0,010	\$0,010	-	(340,682)	(340,558)	\$0,124	0.0
Other Fringe Benefits	\$13,301	\$15,967	\$2,666	20.0	\$109,004	\$196,072	\$87,068	79.9
Total Fringe Benefits	\$13,301	\$7,268	(6,033)	(45.4)	(231,678)	(150,757)	\$80,921	34.9
Contribution to GASB Fund	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Reimbursable Overhead	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Labor	\$25,002	\$23,530	(1,471)	(5.9)	(147,233)	(65,440)	\$81,793	55.6
Non-Labor :								
Electric Power	\$0,000	\$4,806	\$4,806	-	\$0,000	\$5,241	\$5,241	-
Fuel	\$0,000	(5,280)	(5,280)	-	\$0,000	(0,372)	(0,372)	-
Insurance	(1,853)	\$1,707	\$3,560	-	(5,481)	(7,090)	(1,609)	(29.3)
Claims	\$2,888	\$14,774	\$11,886	-	\$25,996	\$12,188	(13,808)	(53.1)
Paratransit Service Contracts	\$0,000	\$8,040	\$8,040	-	\$2,000	\$6,291	\$4,291	-
Maintenance and Other Operating Contracts	\$0,000	(3,563)	(3,563)	-	(3,300)	\$8,931	\$12,231	-
Professional Service Contracts	\$0,000	\$0,322	\$0,322	-	(9,120)	(34,628)	(25,508)	-
Materials & Supplies	\$8,000	\$4,473	(3,527)	(44.1)	\$16,223	\$10,133	(6,090)	(37.5)
Other Business Expenses	\$0,000	(0,643)	(0,643)	-	\$0,000	(8,516)	(8,516)	-
Non-Labor	\$9,035	\$24,637	\$15,602	-	\$26,318	(7,821)	(34,139)	-
Other Expense Adjustments:								
Other	\$0,000	\$0,000	-	-	\$0,000	\$0,000	-	-
Other Expense Adjustments	\$0,000	\$0,000	-	-	\$0,000	\$0,000	-	-
Total Expenses before Depreciation and OPEB	\$34,037	\$48,167	\$14,131	41.5	(120,915)	(73,261)	\$47,654	39.4
Depreciation	\$147,311	\$136,775	(10,536)	(7.2)	\$1,278,476	\$1,240,234	(38,242)	(3.0)
OPEB Liability	\$389,817	\$280,103	(109,714)	(28.1)	\$1,053,543	\$892,531	(161,012)	(15.3)
GASB 68 Pension Adjustment	\$0,000	(14,504)	(14,504)	-	\$340,680	\$257,462	(83,218)	(24.4)
Environmental Remediation	\$0,000	\$0,000	\$0,000	-	\$0,000	\$0,000	\$0,000	-
Total Expenditures	\$571,165	\$450,541	(120,623)	(21.1)	\$2,551,784	\$2,316,965	(234,818)	(9.2)
Total Cash Conversion Adjustments	\$561,085	\$382,665	(178,420)	(31.8)	\$2,371,487	\$2,172,790	(198,697)	(8.4)

Note: Totals may not add due to rounding

Note: Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

MTA NEW YORK CITY TRANSIT
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
TOTAL POSITIONS by FUNCTION and DEPARTMENT
NON-REIMBURSABLE/REIMBURSABLE and FULL-TIME POSITIONS/FULL-TIME EQUIVALENTS
September 2016

	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Variance Fav./Unfav)</u>	<u>Explanation</u>
Administration				
Office of the President	64	49	15	
Law	320	295	25	
Office of the EVP	46	43	3	
Human Resources	232	237	(5)	
Office of Management and Budget	42	44	(2)	
Capital Planning & Budget	35	31	4	
Corporate Communications	265	252	13	
Non-Departmental	(33)	1	(34)	
Labor Relations	98	97	1	
Materiel	290	268	22	
Controller	128	127	1	
Total Administration	1,487	1,444	43	
Operations				
Subways Service Delivery	8,032	8,132	(100)	Mostly Train Operator/Conductor Excess
Subways Operations Support/Admin	405	403	2	
Subways Stations	2,657	2,586	71	Mostly Supervisor/Station Agent Shortage
Sub-total Subways	11,094	11,121	(27)	
Buses	11,074	10,821	253	Mostly Bus Operator Shortage
Paratransit	213	198	15	
Operations Planning	400	383	17	
Revenue Control	583	548	35	
Non-Departmental	51	0	51	
Total Operations	23,415	23,071	344	
Maintenance				
Subways Operations Support/Admin	164	143	21	
Subways Engineering	379	349	30	
Subways Car Equipment	4,469	4,378	91	Largely Car Inspector/PTE Shortage
Subways Infrastructure	1,594	1,531	63	Mostly Maintainer Shortage
Subways Elevators & Escalators	455	431	24	
Subways Stations	3,719	3,666	53	Mostly Maintainer Shortage
Subways Track	2,831	2,811	20	
Subways Power	612	594	18	
Subways Signals	1,497	1,492	5	
Subways Electronic Maintenance	1,612	1,542	70	Primarily Maintainer/PTE Shortage
Sub-total Subways	17,332	16,937	395	
Buses	3,685	3,616	69	Largely Maintainer Shortage
Supply Logistics	559	563	(4)	
System Safety	99	84	15	
Non-Departmental	(83)	(1)	(82)	
Total Maintenance	21,592	21,199	393	
Engineering/Capital				
Capital Program Management	1,358	1,381	(23)	
Total Engineering/Capital	1,358	1,381	(23)	
Public Safety				
Security	662	654	8	
Total Public Safety	662	654	8	
Total Positions	48,514	47,749	765	
Non-Reimbursable	43,285	42,956	329	
Reimbursable	5,229	4,793	436	
Total Full-Time	48,301	47,502	799	
Total Full-Time Equivalents	213	247	(34)	

MTA NEW YORK CITY TRANSIT
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
TOTAL POSITIONS by FUNCTION and OCCUPATION
FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS
September 2016

FUNCTION/OCCUPATION	Mid-Year Forecast	Actual	Variance Fav./(Unfav)	Explanation
Administration:				
Managers/Supervisors	537	455	82	
Professional, Technical, Clerical	921	964	(43)	
Operational Hourlies	29	25	4	
Total Administration	1,487	1,444	43	
Operations				
Managers/Supervisors	2,772	2,697	75	
Professional, Technical, Clerical	507	483	24	
Operational Hourlies	20,136	19,891	245	
	23,415	23,071	344	
Maintenance				
Managers/Supervisors	3,896	3,875	21	
Professional, Technical, Clerical	1,113	1,012	101	
Operational Hourlies	16,583	16,312	271	
Total Maintenance	21,592	21,199	393	
Engineering/Capital				
Managers/Supervisors	339	337	2	
Professional, Technical, Clerical	1,017	1,042	(25)	
Operational Hourlies	2	2	0	
Total Engineering/Capital	1,358	1,381	(23)	
Public Safety				
Managers/Supervisors	288	281	7	
Professional, Technical, Clerical	38	39	(1)	
Operational Hourlies	336	334	2	
Total Public Safety	662	654	8	
Total Positions				
Managers/Supervisors	7,832	7,645	187	
Professional, Technical, Clerical	3,596	3,540	56	
Operational Hourlies	37,086	36,564	522	
Total Positions	48,514	47,749	765	

MTA New York City Transit
2016 July Financial Plan
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	September						September Year-to-Date					
	Forecast		Actuals		Var. - Fav./(Unfav)		Forecast		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
NON-REIMBURSABLE OVERTIME												
<u>Scheduled Service</u>	339,932	\$10.695	336,461	\$10.727	3,471	(\$0.032) (0.3%)	3,046,097	\$96.412	3,056,449	\$97.253	(10,352)	(\$0.841) (0.9%)
<u>Unscheduled Service</u>	305,229	\$9.772	372,830	\$12.113	(67,601)	(\$2.340) (23.9%)	2,694,778	\$86.792	2,868,673	\$92.878	(173,895)	(\$6.086) (7.0%)
<u>Programmatic/Routine Maintenance</u>	361,323	\$12.716	474,095	\$16.135	(112,772)	(\$3.418) (26.9%)	3,170,844	\$110.745	3,316,663	\$112.890	(145,818)	(\$2.145) (1.9%)
<u>Unscheduled Maintenance</u>	0	\$0.000	0	\$0.000	0	\$0.000 0.0%	0	\$0.000	0	\$0.000	0	\$0.000 0.0%
<u>Vacancy/Absentee Coverage</u>	41,093	\$1.223	67,702	\$2.233	(26,609)	(\$1.009) (82.5%)	373,641	\$11.796	470,789	\$15.527	(97,148)	(\$3.731) (31.6%)
<u>Weather Emergencies</u>	6,338	\$0.249	4,901	\$0.169	1,437	\$0.080 32.1%	558,624	\$18.823	547,373	\$18.516	11,251	\$0.307 1.6%
<u>Safety/Security/Law Enforcement</u>	11,154	\$0.330	11,067	\$0.301	87	\$0.029 8.7%	96,500	\$2.762	97,993	\$2.709	(1,493)	\$0.053 1.9%
<u>Other</u>	14,311	\$0.381	9,632	\$0.333	4,679	\$0.047 12.4%	115,226	\$3.610	99,175	\$3.513	16,050	\$0.098 2.7%
Subtotal	1,079,380	\$35.367	1,276,688	\$42.011	(197,308)	(\$6.644) (18.8%)	10,055,709	\$330.940	10,457,114	\$343.285	(401,406)	(\$12.344) (3.7%)
REIMBURSABLE OVERTIME	167,253	\$7.481	312,236	\$10.876	(144,982)	(\$3.394) (45.4%)	2,452,950	\$92.251	3,081,832	\$107.691	(628,882)	(\$15.440) (16.7%)
TOTAL OVERTIME	1,246,633	\$42.848	1,588,924	\$52.887	(342,291)	(\$10.039) (23.4%)	12,508,659	\$423.191	13,538,946	\$450.975	(1,030,287)	(\$27.785) (6.6%)

Totals may not add due to rounding

NOTE: Percentages are based on each type of overtime and not on total overtime.

* Exceeds 100%

MTA New York City Transit
2016 July Financial Plan
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	September			September Year-to-Date		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
NON-REIMBURSABLE OVERTIME						
<u>Scheduled Service</u>	3,471	(\$0.0) 0.5%		(10,352)	(\$0.8) 6.8%	
<u>Unscheduled Service</u>	(67,601)	(\$2.3) 35.2%	Unfavorable variance due to subway service delays and overcrowding.	(173,895)	(\$6.1) 49.3%	Unfavorable YTD results mainly due to subway service delays and overcrowding.
<u>Programmatic/Routine Maintenance</u>	(112,772)	(\$3.4) 51.4%	Unfavorable variance mainly due to continued signals maintenance.	(145,818)	(\$2.1) 17.4%	Unfavorable YTD results mainly due to continued signals maintenance.
<u>Unscheduled Maintenance</u>	0	\$0.0 0.0%		0	\$0.0 0.0%	
<u>Vacancy/Absentee Coverage</u>	(26,609)	(\$1.0) 15.2%	Unfavorable variance mainly due to vacancy/absentee coverage for Bus Operators and Bus Maintainers.	(97,148)	(\$3.7) 30.2%	Unfavorable YTD results mainly due to vacancy/absentee coverage for Bus Operators and Bus Maintainers.
<u>Weather Emergencies</u>	1,437	\$0.1 (1.2%)		11,251	\$0.3 (2.5%)	
<u>Safety/Security/Law Enforcement</u>	87	\$0.0 (0.4%)		(1,493)	\$0.1 (0.4%)	
<u>Other</u>	4,679	\$0.0 (0.7%)		16,050	\$0.1 (0.8%)	
Subtotal	(197,308)	(\$6.6) 66.2%		(401,406)	(\$12.3) 44.4%	
REIMBURSABLE OVERTIME	(144,982)	(\$3.4) 33.8%	Unfavorable variance mainly due to Subways Capital Track Program work is concentrated on the weekends to take advantage of track availability, and other capital program support.	(628,882)	(\$15.4) 55.6%	Unfavorable YTD results mainly due to Subways Capital Track Program work is concentrated on the weekends to take advantage of track availability, and other capital program support.
TOTAL OVERTIME	(342,291)	(\$10.0)		(1,030,287)	(\$27.8)	

Totals may not add due to rounding.

NOTE: Percentages are based on each type of overtime and not on total overtime.

* Exceeds 100%

METROPOLITAN TRANSPORTATION AUTHORITY
2016 Overtime Reporting
Overtime Legend

<u>Type</u>	<u>Definition</u>
<i>Scheduled Service</i>	Crew book/Regular Run/Shift hours (above 8 hours) required by train crews, bus/tower/block operators, transportation supervisors/dispatchers, fare sales and collection, Train & Engineers, as well as non-transportation workers whose work is directly related to providing service (includes coverage for holidays).
<i>Unscheduled Service</i>	Service coverage resulting from extraordinary events not related to weather, such as injuries, mechanical breakdowns, unusual traffic, tour length, late tour relief, and other requirements that arise that are non-absence related.
<i>Programmatic/Routine Maintenance</i>	<i>Program Maintenance</i> work for which overtime is planned (e.g. Railroad Tie Replacement, Sperry Rail Testing, Running Board Replacement Programs). This also includes <i>Routine Maintenance</i> work for which OT has been planned, as well as all other maintenance <u>not</u> resulting from extraordinary events, including running repairs. Program/Routine maintenance work is usually performed during hours that are deemed more practical in order to minimize service disruptions, and includes contractual scheduled pay over 8 hours.
<i>Unscheduled Maintenance</i>	Resulting from an <u>extraordinary event</u> (not weather-related) requiring the use of unplanned maintenance to perform repairs on trains, buses, subway and bus stations, depots, tracks and administrative and other facilities, including derailments, tour length and weekend coverage.
<i>Vacancy/Absentee Coverage</i>	Provides coverage for an absent employee or a vacant position.
<i>Weather Emergencies</i>	Coverage necessitated by extreme weather conditions (e.g. snow, flooding, hurricane, and tornadoes), as well as preparatory and residual costs.
<i>Safety/Security/Law Enforcement</i>	Coverage required to provide additional customer & employee protection and to secure MTA fleet facilities, transportation routes, and security training.
<i>Other</i>	Includes overtime coverage for clerical, administrative positions that are eligible for overtime, and miscellaneous overtime.
<i>Reimbursable Overtime</i>	Overtime incurred to support projects that are reimbursed from the MTA Capital Program and other funding sources.



FINANCIAL AND RIDERSHIP REPORT

September 2016

(All data are preliminary and subject to audit)

In the month of September, **operating revenues** were \$0.8 million, less than \$0.1 million (5.2 percent) above the Mid-Year Forecast (forecast). Year-to-date, operating revenues of \$6.6 million were below forecast by \$0.2 million (3.4 percent), due mostly to the unfavorable timing of student fare reimbursements.

Total **ridership** in September 2016 was 401,349, 4.5 percent (19,007 riders) below forecast, due in part to lower ridership on Fridays than expected. Year-to-date, ridership was 3,359,528, 1.6 percent (54,265 riders) below forecast. September 2016 average weekday ridership was 17,349, 3.2 percent (531 riders) higher than in September 2015, due to higher student ridership caused by a larger portion of weekdays that were school days in 2016 compared to 2015. Average weekday ridership for the twelve months ending September 2016 was 16,276, 3.2 percent (501 riders) more than the previous twelve-month period, due to the residual impact of the shift from express buses to SIR and the SI Ferry after the March 22, 2015 fare increase.

Nonreimbursable expenses before depreciation, Other Post-Employment Benefits and GASB 68 Pension Adjustment, were below forecast in September by \$1.3 million (20.1 percent). Labor expenses underran by \$0.7 million (18.9 percent), due primarily to the favorable timing of payroll expenses of \$0.3 million (15.6 percent) and overtime expenses of \$0.2 million (40.5 percent). Non-labor expenses were also less than forecast by \$0.5 million (21.8 percent), resulting principally from the favorable timing of \$0.6 million (32.7 percent) of R44 Car Fleet maintenance expenses and non-revenue vehicle purchases. Year-to-date, expenses were below forecast by \$4.0 million (8.5 percent). Labor expenses were less by \$1.9 million (6.3 percent), again caused largely by the favorable timing of payroll expenses of \$1.2 million (6.8 percent) and the favorable timing of project overtime requirements of \$0.7 million (27.8 percent). Non-labor expenses were under forecast by \$2.1 million (12.5 percent), again due largely to the timing of R44 Car Fleet maintenance expenses and non-revenue vehicle purchases of \$1.8 million (17.1 percent).

Depreciation expenses were \$6.0 million year-to-date, slightly below forecast.

GASB #45 Other Post-Employment Benefit accrued expenses of \$5.5 million were recorded year-to-date, \$0.2 million (4.6 percent) above forecast.

The **net cash deficit** (excluding subsidies) year-to-date was \$44.0 million, favorable to forecast by \$2.5 million (5.3 percent), due mainly to the timing of R44 fleet maintenance expenses/payments.

MTA STATEN ISLAND RAILWAY
 sep - 2016 Mid_Year
 Accrual Statement of Operations By Category
 Month - sep 2016
 (\$ in Millions)

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	Nonreimbursable				Reimbursable				Total			
	Forecast Mid_Year	Actual	Favorable (Unfavorable) Variance	Var Percent	Forecast Mid_Year	Actual	Favorable (Unfavorable) Variance	Percent	Forecast Mid_Year	Actual	Favorable (Unfavorable) Variance	Percent
Revenue												
Farebox Revenue	\$0.591	\$0.580	(0.012)	(2.0)	\$0.000	\$0.000	-	-	\$0.591	\$0.580	(0.012)	(2.0)
Other Revenue	\$0.185	\$0.237	\$0.052	28.2	\$0.000	\$0.000	-	-	\$0.185	\$0.237	\$0.052	28.2
Capital and Other Reimbursements	\$0.000	\$0.000	-	-	\$0.367	\$0.184	(0.183)	(49.9)	\$0.367	\$0.184	(0.183)	(49.9)
Total Revenue	\$0.776	\$0.817	\$0.040	5.2	\$0.367	\$0.184	(0.183)	(49.9)	\$1.143	\$1.001	(0.143)	(12.5)
Expenses												
Labor :												
Payroll	\$2.058	\$1.736	\$0.322	15.6	\$0.085	\$0.078	\$0.007	8.1	\$2.143	\$1.814	\$0.329	15.3
Overtime	\$0.404	\$0.240	\$0.164	40.5	\$0.149	\$0.020	\$0.129	86.6	\$0.553	\$0.260	\$0.293	53.0
Total Salaries & Wages	\$2.462	\$1.977	\$0.486	19.7	\$0.234	\$0.098	\$0.136	58.1	\$2.697	\$2.075	\$0.622	23.1
Health and Welfare	\$0.384	\$0.248	\$0.136	35.4	\$0.000	\$0.000	\$0.000	-	\$0.384	\$0.248	\$0.136	35.4
OPEB Current Payment	\$0.107	\$0.163	(0.056)	(52.6)	(0.001)	\$0.001	(0.002)	-	\$0.106	\$0.164	(0.058)	(55.2)
Pensions	\$0.506	\$0.470	\$0.036	7.1	\$0.000	\$0.000	\$0.000	-	\$0.506	\$0.470	\$0.036	7.1
Other Fringe Benefits	\$0.370	\$0.323	\$0.047	12.6	\$0.000	\$0.000	\$0.000	-	\$0.370	\$0.323	\$0.047	12.6
Total Fringe Benefits	\$1.366	\$1.204	\$0.162	11.8	(0.001)	\$0.001	(0.002)	-	\$1.365	\$1.205	\$0.160	11.7
Contribution to GASB Fund	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Reimbursable Overhead	(0.007)	(0.083)	\$0.076	-	\$0.007	\$0.083	(0.076)	-	\$0.000	\$0.000	\$0.000	-
Labor	\$3.822	\$3.098	\$0.724	18.9	\$0.240	\$0.182	\$0.058	24.1	\$4.062	\$3.280	\$0.782	19.2
Non-Labor :												
Electric Power	\$0.254	\$0.247	\$0.007	2.9	(0.001)	\$0.000	(0.001)	-	\$0.253	\$0.247	\$0.007	2.6
Fuel	\$0.017	\$0.011	\$0.006	36.4	\$0.000	\$0.000	\$0.000	-	\$0.017	\$0.011	\$0.006	36.4
Insurance	\$0.117	\$0.144	(0.027)	(23.2)	\$0.000	\$0.000	\$0.000	-	\$0.117	\$0.144	(0.027)	(23.2)
Claims	\$0.006	\$0.134	(0.128)	-	\$0.000	\$0.000	\$0.000	-	\$0.006	\$0.134	(0.128)	-
Paratransit Service Contracts	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Maintenance and Other Operating Contracts	\$1.736	\$1.169	\$0.567	32.7	\$0.000	\$0.000	\$0.000	-	\$1.736	\$1.169	\$0.567	32.7
Professional Service Contracts	\$0.076	\$0.093	(0.017)	(22.7)	(0.001)	\$0.001	(0.002)	-	\$0.075	\$0.094	(0.019)	(25.9)
Materials & Supplies	\$0.297	\$0.144	\$0.153	51.6	\$0.129	\$0.001	\$0.128	-	\$0.426	\$0.145	\$0.281	66.0
Other Business Expenses	(0.007)	\$0.012	(0.019)	-	\$0.000	\$0.000	\$0.000	-	(0.007)	\$0.012	(0.019)	-
Non-Labor	\$2.496	\$1.953	\$0.543	21.8	\$0.127	\$0.002	\$0.125	98.4	\$2.623	\$1.955	\$0.668	25.5
Other Expense Adjustments:												
Other	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Other Expense Adjustments	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Total Expenses before Depreciation and OPEB	\$6.318	\$5.051	\$1.267	20.1	\$0.367	\$0.184	\$0.183	49.8	\$6.684	\$5.235	\$1.450	21.7
Depreciation	\$0.737	\$0.736	\$0.001	0.2	\$0.000	\$0.000	\$0.000	-	\$0.737	\$0.736	\$0.001	0.2
OPEB Liability	\$1.143	\$1.494	(0.351)	(30.7)	\$0.000	\$0.000	\$0.000	-	\$1.143	\$1.494	(0.351)	(30.7)
GASB 68 Pension Adjustment	(0.095)	\$0.000	(0.095)	-	\$0.000	\$0.000	\$0.000	-	(0.095)	\$0.000	(0.095)	-
Environmental Remediation	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses	\$8.103	\$7.280	\$0.822	10.2	\$0.367	\$0.184	\$0.183	49.8	\$8.469	\$7.464	\$1.005	11.9
OPERATING SURPLUS/DEFICIT	(7.326)	(6.463)	\$0.863	11.8	\$0.000	\$0.000	\$0.000	-	(7.326)	(6.463)	\$0.863	11.8

Note: Totals may not add due to rounding

Note: Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

MTA STATEN ISLAND RAILWAY
 sep - 2016 Mid_Year
 Accrual Statement of Operations By Category
 Year-To-Date - sep 2016
 (\$ in Millions)

10/20/2016 12:15 PM

	Nonreimbursable				Reimbursable				Total			
			Var Percent				Favorable (Unfavorable)				Favorable (Unfavorable)	
	Forecast Mid_Year	Actual	Variance	Percent	Forecast Mid_Year	Actual	Variance	Percent	Forecast Mid_Year	Actual	Variance	Percent
Revenue												
Farebox Revenue	\$4.967	\$4.897	(0.071)	(1.4)	\$0.000	\$0.000	-	-	\$4.967	\$4.897	(0.071)	(1.4)
Other Revenue	\$1.888	\$1.723	(0.165)	(8.8)	\$0.000	\$0.000	-	-	\$1.888	\$1.723	(0.165)	(8.8)
Capital and Other Reimbursements	\$0.000	\$0.000	-	-	\$3.901	\$3.243	(0.658)	(16.9)	\$3.901	\$3.243	(0.658)	(16.9)
Total Revenue	\$6.855	\$6.619	(0.236)	(3.4)	\$3.901	\$3.243	(0.658)	(16.9)	\$10.756	\$9.862	(0.894)	(8.3)
Expenses												
Labor :												
Payroll	\$17.363	\$16.178	\$1.185	6.8	\$1.068	\$1.057	\$0.011	1.0	\$18.431	\$17.235	\$1.196	6.5
Overtime	\$2.614	\$1.887	\$0.727	27.8	\$1.047	\$0.535	\$0.512	48.9	\$3.661	\$2.422	\$1.239	33.8
Total Salaries & Wages	\$19.977	\$18.065	\$1.912	9.6	\$2.114	\$1.592	\$0.522	24.7	\$22.091	\$19.657	\$2.434	11.0
Health and Welfare	\$3.131	\$3.176	(0.045)	(1.4)	\$0.000	\$0.000	\$0.000	-	\$3.131	\$3.176	(0.045)	(1.4)
OPEB Current Payment	\$1.081	\$1.595	(0.514)	(47.6)	\$0.003	\$0.011	(0.008)	-	\$1.084	\$1.606	(0.522)	(48.1)
Pensions	\$4.549	\$4.479	\$0.070	1.5	\$0.000	\$0.000	\$0.000	-	\$4.549	\$4.479	\$0.070	1.5
Other Fringe Benefits	\$2.992	\$2.833	\$0.159	5.3	\$0.001	\$0.000	\$0.001	-	\$2.993	\$2.833	\$0.160	5.4
Total Fringe Benefits	\$11.753	\$12.083	(0.330)	(2.8)	\$0.005	\$0.011	(0.006)	-	\$11.758	\$12.094	(0.336)	(2.9)
Contribution to GASB Fund	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Reimbursable Overhead	(1.159)	(1.509)	\$0.350	30.2	\$1.159	\$1.509	(0.350)	(30.2)	\$0.000	\$0.000	\$0.000	-
Labor	\$30.571	\$28.639	\$1.932	6.3	\$3.278	\$3.112	\$0.166	5.1	\$33.849	\$31.751	\$2.098	6.2
Non-Labor :												
Electric Power	\$2.510	\$2.477	\$0.034	1.3	\$0.002	\$0.008	(0.006)	-	\$2.512	\$2.485	\$0.028	1.1
Fuel	\$0.200	\$0.115	\$0.086	42.8	\$0.000	\$0.000	\$0.000	-	\$0.200	\$0.115	\$0.086	42.8
Insurance	\$0.817	\$0.925	(0.109)	(13.3)	\$0.000	\$0.000	\$0.000	-	\$0.817	\$0.925	(0.109)	(13.3)
Claims	\$0.067	\$0.226	(0.159)	-	\$0.000	\$0.000	\$0.000	-	\$0.067	\$0.226	(0.159)	-
Paratransit Service Contracts	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Maintenance and Other Operating Contracts	\$10.566	\$8.755	\$1.812	17.1	\$0.000	\$0.000	\$0.000	-	\$10.566	\$8.755	\$1.812	17.1
Professional Service Contracts	\$0.534	\$0.646	(0.112)	(21.0)	\$0.003	\$0.012	(0.009)	-	\$0.537	\$0.658	(0.121)	(22.5)
Materials & Supplies	\$1.942	\$1.360	\$0.582	30.0	\$0.617	\$0.111	\$0.506	82.0	\$2.559	\$1.471	\$1.088	42.5
Other Business Expenses	\$0.049	\$0.101	(0.052)	-	\$0.000	\$0.000	\$0.000	-	\$0.049	\$0.101	(0.052)	-
Non-Labor	\$16.686	\$14.604	\$2.082	12.5	\$0.622	\$0.131	\$0.491	79.0	\$17.308	\$14.735	\$2.573	14.9
Other Expense Adjustments:												
Other	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Other Expense Adjustments	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Total Expenses before Depreciation and OPEB	\$47.257	\$43.243	\$4.014	8.5	\$3.900	\$3.243	\$0.657	16.9	\$51.158	\$46.486	\$4.671	9.1
Depreciation	\$6.088	\$6.040	\$0.048	0.8	\$0.000	\$0.000	\$0.000	-	\$6.088	\$6.040	\$0.048	0.8
OPEB Liability	\$5.221	\$5.462	(0.241)	(4.6)	\$0.000	\$0.000	\$0.000	-	\$5.221	\$5.462	(0.241)	(4.6)
GASB 68 Pension Adjustment	(0.215)	\$0.096	(0.311)	-	\$0.000	\$0.000	\$0.000	-	(0.215)	\$0.096	(0.311)	-
Environmental Remediation	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenses	\$58.352	\$54.841	\$3.511	6.0	\$3.900	\$3.243	\$0.657	16.9	\$62.252	\$58.084	\$4.168	6.7
OPERATING SURPLUS/DEFICIT	(51.497)	(48.222)	\$3.275	6.4	\$0.001	\$0.000	(0.001)	-	(51.496)	(48.222)	\$3.274	6.4

Note: Totals may not add due to rounding

Note: Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

Table 3

MTA STATEN ISLAND RAILWAY
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL ACCRUAL BASIS
September 2016
(\$ in millions)

Generic Revenue or Expense Category	Non Reimb. or Reimb.	MONTH			YEAR-TO-DATE		
		Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Farebox Revenue	Non Reimb.	(0.012)	(2.0)	Due in part to lower ridership on Fridays than expected	(0.071)	(1.4)	Mostly due to lower ridership
Other Operating Revenue	Non Reimb.	0.052	28.2	The favorable timing of student fare reimbursements	(0.165)	(8.8)	The unfavorable timing of student fare reimbursements
Payroll	Non Reimb.	0.322	15.6	Largely the favorable timing of expenses and vacancies	1.185	6.8	Largely the favorable timing of expenses and vacancies
Overtime	Non Reimb.	0.164	40.5	Largely the favorable timing of project labor requirements	0.727	27.8	Largely the favorable timing of project labor requirements
Health and Welfare (including OPEB current payment)	Non Reimb.				(0.559)	(13.3)	The unfavorable timing of expenses and higher rates
Pension	Non Reimb.				0.070	1.5	The favorable timing of expenses
Other Fringe Benefits	Non Reimb.	0.047	12.6	The favorable timing of interagency fringe benefit billing	0.159	5.3	The favorable timing of interagency fringe benefit billing
Electric Power	Non Reimb.				0.034	1.3	Mostly the favorable timing of expenses and lower prices
Fuel	Non Reimb.				0.086	42.8	Largely the timing of expenses
Insurance	Non Reimb.	(0.027)	(23.2)	The unfavorable timing of interagency billing	(0.109)	(13.3)	The unfavorable timing of interagency billing
Maintenance & Other Operating Contracts	Non Reimb.	0.567	32.7	Mainly the favorable timing of R44 car fleet interagency maintenance expenses and non-revenue vehicle purchases	1.812	17.1	Mainly the favorable timing of R44 car fleet interagency maintenance expenses and non-revenue vehicle purchases
Professional Service Contracts	Non Reimb.				(0.112)	(21.0)	The unfavorable timing of bridge inspection and several other professional service account expenses
Materials and Supplies	Non Reimb.	0.153	51.6	Primarily the favorable timing of maintenance material requirements	0.582	30.0	Primarily the favorable timing of maintenance material requirements
Capital and Other Reimbursements	Reimb.	(0.183)	(49.9)	Timing of contractor requirements	(0.658)	(16.9)	Timing of contractor requirements
Payroll	Reimb.	0.007	8.1	Timing of contractor requirements	0.011	1.0	Timing of contractor requirements
Overtime	Reimb.	0.129	86.6	Timing of contractor requirements	0.512	48.9	Timing of contractor requirements
Materials & Supplies	Reimb.	0.128	n/a	The favorable timing of project materiel requirements	0.506	82.0	The favorable timing of project materiel requirements

MTA STATEN ISLAND RAILWAY
July Financial Plan - 2016 Mid_Year
Cash Receipts and Expenditures
 sep FY16
 (\$ in Millions)

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	Month				Year-To-Date			
	Forecast Mid_Year	Actual	Favorable (Unfavorable)		Forecast Mid_Year	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
Receipts								
Farebox Revenue	\$0.535	\$0.574	\$0.039	7.3	\$4.760	\$4.876	\$0.116	2.4
Other Revenue	\$0.409	\$0.078	(0.331)	(80.9)	\$2.868	\$1.731	(1.137)	(39.6)
Capital and Other Reimbursements	\$0.579	\$0.000	(0.579)	-	\$4.048	\$2.805	(1.243)	(30.7)
Total Revenue	\$1.524	\$0.652	(0.872)	(57.2)	\$11.675	\$9.412	(2.263)	(19.4)
Expenditures								
Labor :								
Payroll	\$2.017	\$1.733	\$0.284	14.1	\$24.826	\$24.926	(0.100)	(0.4)
Overtime	\$0.679	\$0.219	\$0.460	67.8	\$3.910	\$2.280	\$1.630	41.7
Total Salaries & Wages	\$2.697	\$1.952	\$0.745	27.6	\$28.736	\$27.206	\$1.530	5.3
Health and Welfare	\$0.469	\$0.001	\$0.468	-	\$2.876	\$2.959	(0.083)	(2.9)
OPEB Current Payment	\$0.010	\$0.005	\$0.005	49.9	\$1.372	\$1.697	(0.325)	(23.7)
Pensions	\$0.506	\$0.470	\$0.036	7.1	\$4.549	\$4.479	\$0.070	1.5
Other Fringe Benefits	\$0.328	\$0.286	\$0.042	12.7	\$3.583	\$3.703	(0.120)	(3.4)
Total Fringe Benefits	\$1.312	\$0.762	\$0.550	41.9	\$12.379	\$12.838	(0.459)	(3.7)
Contribution to GASB Fund	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Reimbursable Overhead	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Labor	\$4.009	\$2.714	\$1.295	32.3	\$41.115	\$40.044	\$1.071	2.6
Non-Labor :								
Electric Power	\$0.206	\$0.247	(0.041)	(20.0)	\$2.654	\$2.830	(0.176)	(6.6)
Fuel	\$0.030	\$0.001	\$0.029	96.6	\$0.247	\$0.090	\$0.157	63.6
Insurance	\$0.146	\$0.208	(0.062)	(42.0)	\$0.728	\$0.928	(0.200)	(27.5)
Claims	\$0.012	\$0.125	(0.113)	-	\$0.050	\$0.154	(0.104)	-
Paratransit Service Contracts	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Maintenance and Other Operating Contracts	\$2.358	\$1.091	\$1.267	53.7	\$10.184	\$6.993	\$3.191	31.3
Professional Service Contracts	\$0.040	\$0.011	\$0.029	72.4	\$0.641	\$0.887	(0.246)	(38.3)
Materials & Supplies	\$0.468	\$0.098	\$0.370	79.1	\$2.432	\$1.337	\$1.095	45.0
Other Business Expenses	(0.006)	\$0.009	(0.015)	-	\$0.045	\$0.099	(0.054)	-
Non-Labor	\$3.254	\$1.790	\$1.464	45.0	\$16.982	\$13.318	\$3.664	21.6
Other Expense Adjustments:								
Other	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Other Expense Adjustments	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Total Expenditures before Depreciation and OPEB	\$7.262	\$4.504	\$2.758	38.0	\$58.098	\$53.362	\$4.736	8.2
Depreciation	\$0.000	\$0.000	\$0.000	-	\$0.001	\$0.000	\$0.001	-
OPEB Liability	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
GASB 68 Pension Adjustment	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Environmental Remediation	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures	\$7.262	\$4.504	\$2.758	38.0	\$58.098	\$53.362	\$4.736	8.2
Net Surplus/(Deficit)	(5.739)	(3.852)	\$1.887	32.9	(46.423)	(43.950)	\$2.473	5.3

Note: Totals may not add due to rounding

MTA STATEN ISLAND RAILWAY
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN MID-YEAR FORECAST AND ACTUAL CASH BASIS
September 2016
(\$ in millions)

Operating Receipts or Disbursements	MONTH			YEAR TO DATE		
	Favorable/ (Unfavorable) Variance		Reason for Variance	Favorable/ (Unfavorable) Variance		Reason for Variance
	\$	%		\$	%	
Farebox Receipts	0.039	7.3%	Primarily the favorable timing of cash settlements with NYCT	0.116	2.4%	Primarily the favorable timing of cash settlements with NYCT
Other Operating Revenue	(0.331)	(80.9%)	Mostly the unfavorable timing of student fare reimbursements	(1.137)	(39.6%)	Mostly the unfavorable timing of student fare reimbursements
Capital and Other Reimbursements	(0.579)	(100.0%)	Largely the unfavorable timing of reimbursements and lower reimbursable expenses	(1.243)	(30.7%)	Largely the unfavorable timing of reimbursements and lower reimbursable expenses
Salaries & Wages	0.745	27.6%	Mainly the favorable timing of expenses and vacancies	1.530	5.3%	Mainly the favorable timing of expenses and vacancies
Health and Welfare (including OPEB current payment)	0.473	81.7%	The favorable timing of payments	(0.408)	(9.6%)	The unfavorable timing of expenses and higher rates
Other Fringe Benefits	0.042	12.7%	The favorable timing of interagency fringe benefit billing	(0.120)	(3.4%)	Principally the unfavorable timing of payments
Maintenance Contracts	1.267	53.7%	Mainly the favorable timing of R44 car fleet interagency maintenance expenses and payments	3.191	31.3%	Mainly the favorable timing of R44 car fleet interagency maintenance expenses and payments
Materials and Supplies	0.370	79.1%	Largely the favorable timing of maintenance materiel requirements	1.095	45.0%	Largely the favorable timing of maintenance materiel requirements

MTA STATEN ISLAND RAILWAY
July Financial Plan - 2016 Mid_Year
Cash Conversion (Cash Flow Adjustments)
 sep FY16
 (\$ in Millions)

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	Month				Year-To-Date			
	Forecast Mid_Year	Actual	Favorable (Unfavorable)		Forecast Mid_Year	Actual	Favorable (Unfavorable)	
			Variance	Percent			Variance	Percent
Revenue								
Farebox Revenue	(0.056)	(0.006)	\$0.051	89.9	(0.207)	(0.021)	\$0.187	90.1
Other Revenue	\$0.224	(0.159)	(0.384)	-	\$0.980	\$0.008	(0.972)	-
Capital and Other Reimbursements	\$0.212	(0.184)	(0.396)	-	\$0.147	(0.438)	(0.585)	-
Total Revenue	\$0.380	(0.349)	(0.729)	-	\$0.919	(0.450)	(1.369)	-
Expenses								
Labor :								
Payroll	\$0.126	\$0.081	(0.045)	(35.4)	(6.395)	(7.691)	(1.296)	(20.3)
Overtime	(0.126)	\$0.041	\$0.167	-	(0.249)	\$0.142	\$0.391	-
Total Salaries & Wages	\$0.000	\$0.123	\$0.123	-	(6.644)	(7.549)	(0.904)	(13.6)
Health and Welfare	(0.085)	\$0.247	\$0.332	-	\$0.256	\$0.217	(0.039)	(15.1)
OPEB Current Payment	\$0.096	\$0.159	\$0.063	66.1	(0.287)	(0.091)	\$0.197	68.4
Pensions	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Other Fringe Benefits	\$0.043	\$0.037	(0.005)	(12.3)	(0.590)	(0.870)	(0.281)	(47.6)
Total Fringe Benefits	\$0.053	\$0.443	\$0.390	-	(0.621)	(0.744)	(0.122)	(19.7)
Contribution to GASB Fund	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Reimbursable Overhead	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	(41.4)
Labor	\$0.053	\$0.566	\$0.513	-	(7.266)	(8.293)	(1.027)	(14.1)
Non-Labor :								
Electric Power	\$0.047	\$0.000	(0.048)	-	(0.142)	(0.345)	(0.204)	-
Fuel	(0.013)	\$0.010	\$0.023	-	(0.047)	\$0.025	\$0.072	-
Insurance	(0.030)	(0.064)	(0.035)	-	\$0.089	(0.003)	(0.092)	-
Claims	(0.006)	\$0.009	\$0.014	-	\$0.017	\$0.072	\$0.055	-
Paratransit Service Contracts	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Maintenance and Other Operating Contracts	(0.622)	\$0.078	\$0.700	-	\$0.382	\$1.762	\$1.379	-
Professional Service Contracts	\$0.035	\$0.083	\$0.048	-	(0.104)	(0.229)	(0.125)	-
Materials & Supplies	(0.042)	\$0.047	\$0.089	-	\$0.126	\$0.134	\$0.007	5.7
Other Business Expenses	(0.001)	\$0.003	\$0.004	-	\$0.004	\$0.002	(0.002)	(50.3)
Non-Labor	(0.631)	\$0.165	\$0.796	-	\$0.326	\$1.417	\$1.091	-
Other Expense Adjustments:								
Other	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Other Expense Adjustments	\$0.000	\$0.000	-	-	\$0.000	\$0.000	-	-
Total Expenses before Depreciation and OPEB	(0.578)	\$0.731	\$1.308	-	(6.940)	(6.876)	\$0.064	0.9
Depreciation	\$0.737	\$0.736	(0.001)	(0.2)	\$6.088	\$6.040	(0.048)	(0.8)
OPEB Liability	\$1.143	\$1.494	\$0.351	30.7	\$5.222	\$5.462	\$0.240	4.6
GASB 68 Pension Adjustment	(0.095)	\$0.000	\$0.095	-	(0.215)	\$0.096	\$0.311	-
Environmental Remediation	\$0.000	\$0.000	\$0.000	-	\$0.000	\$0.000	\$0.000	-
Total Expenditures	\$1.207	\$2.960	\$1.753	-	\$4.154	\$4.722	\$0.568	13.7
Total Cash Conversion Adjustments	\$1.587	\$2.611	\$1.024	64.5	\$5.073	\$4.272	(0.802)	(15.8)

Note: Totals may not add due to rounding

Note: Results are based on the preliminary close of the general ledger and are subject to review and adjustment. Please note that the current months' actuals do not include post-close adjustments, which will be captured in the subsequent month's YTD results.

**MTA STATEN ISLAND RAILWAY
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS
September 2016**

<u>Function/Departments</u>	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>
Administration			
Executive	13	10	3
General Office	10	6	4
Purchasing/Stores	6	4	2
Total Administration	29	20	9
Operations			
Transportation	107	114	(7)
Total Operations	107	114	(7)
Maintenance			
Mechanical	52	44	8
Electronics/Electrical	15	13	2
Power/Signals	27	19	8
Maintenance of Way	48	50	(2)
Infrastructure	26	27	(1)
Total Maintenance	168	153	15
Engineering/Capital			
Reimbursable Program Support	15	12	3
Total Engineering Capital	15	12	3
Total Positions	319	299	20
Non-Reimbursable	304	287	17
Reimbursable	15	12	3
Total Full-Time	319	299	20
Total Full-Time-Equivalents	0	0	0

MTA STATEN ISLAND RAILWAY
JULY FINANCIAL PLAN - 2016 MID-YEAR FORECAST
TOTAL FULL-TIME POSITIONS and FULL-TIME EQUIVALENTS by FUNCTION and OCCUPATION
September 2016

	<u>Mid-Year Forecast</u>	<u>Actual</u>	<u>Favorable (Unfavorable) Variance</u>	<u>Explanation of Variances</u>
Administration				
Managers/Supervisors	17	14	3	
Professional, Technical, Clerical	12	6	6	
Operational Hourlies	0	0	0	
Total Administration	29	20	9	
Operations				
Managers/Supervisors	5	3	2	
Professional, Technical, Clerical	3	2	1	
Operational Hourlies	99	109	(10)	
Total Operations	107	114	(7)	
Maintenance				
Managers/Supervisors	13	12	1	
Professional, Technical, Clerical	6	4	2	
Operational Hourlies	149	137	12	
Total Maintenance	168	153	15	
Engineering/Capital (Reimb. Prog. Supprt)				
Managers/Supervisors	3	3	0	
Professional, Technical, Clerical	2	2	0	
Operational Hourlies	10	7	3	
Total Engineering/Capital	15	12	3	
Total Positions				
Managers/Supervisors	38	32	6	
Professional, Technical, Clerical	23	14	9	
Operational Hourlies	258	253	5	
Total Positions	319	299	20	

**MTA STATEN ISLAND RAILWAY
RIDERSHIP/TRAFFIC VOLUME (UTILIZATION)
2016 MID-YEAR FORECAST VERSUS 2016 PRELIMINARY ACTUAL
(in millions)**

Month of September				
<u>Forecast</u>	<u>Actual</u>	<u>Variance</u>		<u>Explanation</u>
		<u>Amount</u>	<u>Percent</u>	
0.420	0.401	(0.019)	(4.5%)	Due in part to lower ridership on Fridays than expected
Year-to-Date				
3.414	3.360	(0.054)	(1.6%)	

Note: SIR ridership includes estimated non-turnstile student riders.

**MTA STATEN ISLAND RAILWAY
RIDERSHIP/TRAFFIC VOLUME (UTILIZATION)
2015 ACTUAL VERSUS 2016 PRELIMINARY ACTUAL
(in millions)**

	Month of September				Explanation
	2015	2016	Variance		
			Amount	Percent	
Average Weekday	0.017	0.017	0.001	3.2%	Higher student ridership due to a larger portion of weekdays that were school days in 2016 compared to 2015
Average Weekend	0.007	0.009	0.002	21.9%	Shuttle buses replaced trains between Old Town and St. George on one weekend in 2015
12-Month Rolling Average					
Average Weekday	0.016	0.016	0.001	3.2%	The residual impact of the shift from express buses to SIR and the SI Ferry after the March 22, 2015 fare increase
Average Weekend	0.008	0.008	(0.000)	(2.9%)	More weekends with service changes in the current 12-month period than in the prior 12-month period; and the January 2016 weekend snowstorm

Note: SIR ridership includes estimated non-turnstile student riders.

FINANCIAL AND RIDERSHIP REPORT**September 2016**

(All data are preliminary and subject to audit)

Preliminary Actual Results Compared to the Mid-Year Forecast (forecast)

Operating revenue was \$20.3 million in September, less than \$0.1 million (0.2 percent) above forecast. Year-to-date, operating revenue was \$176.1 million, in excess of forecast by \$2.3 million (1.4 percent), due primarily to increased farebox revenue of \$2.0 million (1.3 percent), caused by higher ridership.

Total MTA Bus **ridership** in September 2016 was 10.9 million, 0.5 percent (0.1 million riders) above forecast. Year-to-date, ridership was 94.3 million, 1.2 percent (1.1 million riders) above forecast. September 2016 average weekday ridership was 428,697, an increase of 3.1 percent (12,823 riders) from September 2015. Average weekday ridership for the twelve months ending September 2016 was 409,231, an increase of 0.5 percent (2,009 riders) from the twelve months ending September 2015.

Nonreimbursable expenses, before depreciation and Other Post-Employment Benefits, were \$60.3 million in September, \$3.6 million (6.4 percent) above forecast. Labor expenses exceeded forecast by \$8.3 million (20.7 percent), including an overrun in payroll expenses of \$3.4 million (15.8 percent), due mostly to the timing of interagency billings and reimbursable projects, and a higher rate variance. Other fringe benefits overran by \$3.1 million (84.9 percent), due to an increase in Workers' Compensation reserve requirements, based on a current actuarial estimate. Overtime expenses exceeded forecast by \$0.9 million (21.9 percent), resulting mostly from increased running time/traffic and vacancy/absentee coverage requirements. Non-labor expenses were below forecast by \$4.7 million (27.9 percent), including the favorable timing of expenses reported in maintenance contracts of \$1.4 million (33.5 percent), and materials & supplies of \$1.1 million (24.3 percent). Fuel expenses also underran by \$1.5 million (81.8 percent), due to lower rates and the receipt of CNG rebates. Year-to-date, expenses were a net \$3.1 million (0.6 percent) over forecast. Labor expenses were higher by \$17.9 million (4.8 percent), including unfavorable payroll results of \$7.4 million (3.7 percent), due mostly to the timing of interagency billings, an unfavorable rate variance and the timing of reimbursable projects. Other fringe benefits were higher by \$7.1 million (17.9 percent), due again to higher Workers' Compensation reserve requirements. Non-labor expenses were favorable by \$14.8 million (11.9 percent), due mostly to the timing of maintenance contract expenses of \$6.5 million (23.7 percent) and materials & supplies of \$4.2 million (11.5 percent).

Depreciation expenses year-to-date exceeded forecast by \$7.4 million (22.0 percent).

Other Post-Employment Benefit accrued expenses of \$68.0 million year-to-date were \$6.5 million (8.8 percent) below forecast.

The **operating cash deficit** (excluding subsidies) was \$319.7 million year-to-date, \$18.5 million (5.5 percent) favorable to forecast.

MTA BUS COMPANY
July FINANCIAL PLAN 2016 MID YEAR FORECAST
ACCRUAL STATEMENT of OPERATIONS by CATEGORY
September 2016
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Favorable				Favorable				Favorable			
	(Unfavorable)				(Unfavorable)				(Unfavorable)			
	Mid Year Forecast	Actual	Variance	Percent	Mid Year Forecast	Actual	Variance	Percent	Mid Year Forecast	Actual	Variance	Percent
Revenue												
Farebox Revenue	\$ 18.251	\$ 18.390	\$ 0.139	0.8	\$ -	\$ -	\$ -	-	\$ 18.251	\$ 18.390	\$ 0.139	0.8
Other Operating Income	2.018	1.925	(0.093)	(4.6)	-	-	-	-	2.018	1.925	(0.093)	(4.6)
Capital and Other Reimbursements	-	-	-	-	0.642	0.357	(0.285)	(44.4)	0.642	0.357	(0.285)	(44.4)
Total Revenue	\$ 20.269	\$ 20.315	\$ 0.046	0.2	\$ 0.642	\$ 0.357	\$ (0.285)	(44.4)	\$ 20.911	\$ 20.672	\$ (0.239)	(1.1)
Labor:												
Payroll	\$ 21.369	\$ 24.751	\$ (3.382)	(15.8)	\$ 0.281	\$ 0.222	\$ 0.059	21.0	\$ 21.650	\$ 24.973	\$ (3.323)	(15.3)
Overtime	4.309	5.253	(0.944)	(21.9)	-	-	-	-	4.309	5.253	(0.944)	(21.9)
Health and Welfare	4.931	6.047	(1.116)	(22.6)	0.114	0.062	0.052	45.6	5.045	6.109	(1.064)	(21.1)
OPEB Current Payment	2.039	1.840	0.199	9.8	-	-	-	-	2.039	1.840	0.199	9.8
Pensions	3.623	3.660	(0.037)	(1.0)	0.052	0.031	0.021	40.4	3.675	3.691	(0.016)	(0.4)
Other Fringe Benefits	3.679	6.804	(3.125)	(84.9)	0.050	0.031	0.019	38.0	3.729	6.835	(3.106)	(83.3)
GASB Account	-	-	-	-	-	-	-	-	-	-	-	-
Reimbursable Overhead	-	(0.117)	0.117	-	-	-	-	-	-	(0.117)	0.117	-
Total Labor Expenses	\$ 39.950	\$ 48.238	\$ (8.288)	(20.7)	\$ 0.497	\$ 0.346	\$ 0.151	30.4	\$ 40.447	\$ 48.584	\$ (8.137)	(20.1)
Non-Labor:												
Electric Power	\$ 0.153	\$ 0.131	\$ 0.022	14.4	\$ -	\$ -	\$ -	-	\$ 0.153	\$ 0.131	\$ 0.022	14.4
Fuel	1.787	0.325	1.462	81.8	-	-	-	-	1.787	0.325	1.462	81.8
Insurance	0.582	0.291	0.291	50.0	-	-	-	-	0.582	0.291	0.291	50.0
Claims	2.424	2.400	0.024	1.0	-	-	-	-	2.424	2.400	0.024	1.0
Maintenance and Other Operating Contracts	4.284	2.851	1.433	33.5	0.033	-	0.033	100.0	4.317	2.851	1.466	34.0
Professional Service Contracts	2.624	2.052	0.572	21.8	-	-	-	-	2.624	2.052	0.572	21.8
Materials & Supplies	4.696	3.556	1.140	24.3	0.113	0.011	0.102	90.2	4.809	3.567	1.242	25.8
Other Business Expense	0.156	0.442	(0.286)	*	-	-	-	-	0.156	0.442	(0.286)	*
Total Non-Labor Expenses	\$ 16.707	\$ 12.048	\$ 4.659	27.9	\$ 0.145	\$ 0.011	\$ 0.134	92.4	\$ 16.852	\$ 12.059	\$ 4.793	28.4
Other Expense Adjustments:												
Other	-	-	-	-	-	-	-	-	-	-	-	-
Total Other Expense Adjustments	\$ -	\$ -	\$ -	-	\$ -	\$ -	\$ -	-	\$ -	\$ -	\$ -	-
Total Expenses before Non-Cash Liability Adjs.	\$ 56.657	\$ 60.286	\$ (3.629)	(6.4)	\$ 0.642	\$ 0.357	\$ 0.285	44.4	\$ 57.299	\$ 60.643	\$ (3.344)	(5.8)
Depreciation	2.886	4.811	(1.925)	(66.7)	-	-	-	-	2.886	4.811	(1.925)	(66.7)
OPEB Obligation	8.547	6.915	1.632	19.1	-	-	-	-	8.547	6.915	1.632	19.1
GASB 68 Pension Expense Adjustment	5.742	-	5.742	100.0	-	-	-	-	5.742	-	5.742	100.0
Environmental Remediation	-	-	-	-	-	-	-	-	-	-	-	-
Total Expenses	\$ 73.832	\$ 72.012	\$ 1.820	2.5	\$ 0.642	\$ 0.357	\$ 0.285	44.4	\$ 74.474	\$ 72.369	\$ 2.105	2.8
Net Surplus/(Deficit)	\$ (53.563)	\$ (51.697)	\$ 1.865	3.5	\$ (0.000)	\$ -	\$ 0.000	100.0	\$ (53.563)	\$ (51.697)	\$ 1.866	3.5

NOTE: Totals may not add due to rounding

MTA BUS COMPANY
July FINANCIAL PLAN 2016 MID YEAR FORECAST
ACCUAL STATEMENT of OPERATIONS by CATEGORY
September 2016 Year-To-Date
(\$ in millions)

	Nonreimbursable				Reimbursable				Total			
	Favorable				Favorable				Favorable			
	(Unfavorable)				(Unfavorable)				(Unfavorable)			
	Mid Year Forecast	Actual	Variance	Percent	Mid Year Forecast	Actual	Variance	Percent	Mid Year Forecast	Actual	Variance	Percent
Revenue												
Farebox Revenue	\$ 158.539	\$ 160.552	\$ 2.013	1.3	\$ -	\$ -	\$ -	-	\$ 158.539	\$ 160.552	\$ 2.013	1.3
Other Operating Income	15.190	15.523	0.333	2.2	-	-	-	-	15.190	15.523	0.333	2.2
Capital and Other Reimbursements	-	-	-	-	4.107	2.707	(1.400)	(34.1)	4.107	2.707	(1.400)	(34.1)
Total Revenue	\$ 173.729	\$ 176.075	\$ 2.346	1.4	\$ 4.107	\$ 2.707	\$ (1.400)	(34.1)	\$ 177.836	\$ 178.782	\$ 0.946	0.5
Expenses												
<i>Labor:</i>												
Payroll	\$ 198.938	\$ 206.354	\$ (7.416)	(3.7)	2.048	1.639	\$ 0.409	20.0	\$ 200.986	\$ 207.993	\$ (7.007)	(3.5)
Overtime	40.882	43.130	(2.248)	(5.5)	-	-	-	-	40.882	43.130	(2.248)	(5.5)
Health and Welfare	46.067	47.884	(1.817)	(3.9)	0.748	0.500	0.248	33.2	46.815	48.384	(1.569)	(3.4)
OPEB Current Payment	17.774	17.459	0.315	1.8	-	-	-	-	17.774	17.459	0.315	1.8
Pensions	33.338	33.383	(0.045)	(0.1)	0.341	0.239	0.102	29.9	33.679	33.622	0.057	0.2
Other Fringe Benefits	39.556	46.628	(7.072)	(17.9)	0.333	0.237	0.096	28.8	39.889	46.865	(6.976)	(17.5)
GASB Account	-	-	-	-	-	-	-	-	-	-	-	-
Reimbursable Overhead	(0.516)	(0.913)	0.397	76.9	-	-	-	-	(0.516)	(0.913)	0.397	76.9
Total Labor Expenses	\$ 376.041	\$ 393.925	\$ (17.884)	(4.8)	\$ 3.470	\$ 2.615	\$ 0.855	24.6	\$ 379.511	\$ 396.540	\$ (17.029)	(4.5)
<i>Non-Labor:</i>												
Electric Power	\$ 1.263	\$ 1.149	\$ 0.114	9.1	\$ -	\$ -	\$ -	-	\$ 1.263	\$ 1.149	\$ 0.114	9.1
Fuel	12.375	10.456	1.919	15.5	-	-	-	-	12.375	10.456	1.919	15.5
Insurance	3.756	2.591	1.165	31.0	-	-	-	-	3.756	2.591	1.165	31.0
Claims	21.696	21.600	0.096	0.4	-	-	-	-	21.696	21.600	0.096	0.4
Maintenance and Other Operating Contracts	27.477	20.956	6.521	23.7	0.132	-	0.132	100.0	27.609	20.956	6.653	24.1
Professional Service Contracts	19.056	17.698	1.358	7.1	-	-	-	-	19.056	17.698	1.358	7.1
Materials & Supplies	36.408	32.208	4.200	11.5	0.506	0.092	0.414	81.8	36.914	32.300	4.614	12.5
Other Business Expense	2.132	2.756	(0.624)	(29.3)	-	-	-	-	2.132	2.756	(0.624)	(29.3)
Total Non-Labor Expenses	\$ 124.164	\$ 109.414	\$ 14.750	11.9	\$ 0.637	\$ 0.092	\$ 0.545	85.6	\$ 124.801	\$ 109.506	\$ 15.296	12.3
Other Expense Adjustments:												
Other	-	-	-	-	-	-	-	-	-	-	-	-
Total Other Expense Adjustments	\$ -	\$ -	\$ -	-	\$ -	\$ -	\$ -	-	\$ -	\$ -	\$ -	-
Total Expenses before Non-Cash Liability Adjs.	\$ 500.204	\$ 503.339	\$ (3.134)	(0.6)	\$ 4.107	\$ 2.707	\$ 1.400	34.1	\$ 504.312	\$ 506.046	\$ (1.734)	(0.3)
Depreciation	33.575	40.946	(7.371)	(22.0)	-	-	-	-	33.575	40.946	(7.371)	(22.0)
OPEB Obligation	74.503	67.975	6.528	8.8	-	-	-	-	74.503	67.975	6.528	8.8
GASB 68 Pension Expense Adjustment	22.968	-	22.968	100.0	-	-	-	-	22.968	-	22.968	100.0
Environmental Remediation	-	0.026	(0.026)	-	-	-	-	-	-	0.026	(0.026)	-
Total Expenses	\$ 631.250	\$ 612.286	\$ 18.965	3.0	\$ 4.107	\$ 2.707	\$ 1.400	34.1	\$ 635.358	\$ 614.993	\$ 20.365	3.2
Net Surplus/(Deficit)	\$ (457.521)	\$ (436.211)	\$ 21.311	4.7	\$ (0.000)	\$ -	\$ 0.000	100.0	\$ (457.522)	\$ (436.211)	\$ 21.311	4.7

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NOTE: Totals may not add due to rounding

MTA BUS COMPANY
July FINANCIAL PLAN 2016 MID YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN BUDGET AND ACTUAL ACCRUAL BASIS
(\$ in millions)

Generic Revenue or Expense Category	Nonreimb or Reimb	September 2016			Year-To-Date		
		Favorable (Unfavorable) Variance		Reason for Variance	Favorable (Unfavorable) Variance		Reason for Variance
		\$	%		\$	%	
Farebox Revenue	NR	\$ 0.139	0.8	Higher than planned ridership	\$ 2.013	1.3	Higher than planned ridership
Other Operating Revenue	NR	\$ (0.093)	(4.6)	Lower student fares than planned	\$ 0.333	2.2	Shuttle services reimbursements
Capital and Other Reimbursements	R	\$ (0.285)	(44.4)	Timing/delay in reimbursable projects and vacancies	\$ (1.400)	(34.1)	Timing/delay in reimbursable projects and vacancies
Total Revenue Variance		\$ (0.239)	(1.1)		\$ 0.946	0.5	
Payroll	NR	\$ (3.382)	(15.8)	Mainly due to interagency billings (\$1.8 M to be adjusted in October), rate variance and timing in reimbursable projects	\$ (7.416)	(3.7)	Mainly due to interagency billings (\$1.8 M to be adjusted in October), rate variance and timing in reimbursable projects
Overtime	NR	\$ (0.944)	(21.9)	Mainly due to running time/traffic, vacancy, absentee coverage requirements and rate variances	\$ (2.248)	(5.5)	Mainly due to running time/traffic, vacancy, absentee coverage requirements and rate variances
Health and Welfare (including OPEB Current)	NR	\$ (0.917)	(13.2)	Higher medical expenses	\$ (1.502)	(2.4)	Higher medical expenses
Pension	NR	\$ (0.037)	(1.0)	(a)	\$ (0.045)	(0.1)	(a)
Other Fringe Benefits	NR	\$ (3.125)	(84.9)	Higher workers compensation accruals per updated actuarial estimate and timing of inter-agency billings	\$ (7.072)	(17.9)	Higher workers compensation accruals per updated actuarial estimate and timing of inter-agency billings
Reimbursable Overhead	NR	\$ 0.117	-	(a)	\$ 0.397	-	(a)
Electric Power	NR	\$ 0.022	14.4	(a)	\$ 0.114	9.1	Lower rates
Fuel	NR	\$ 1.462	81.8	Lower rates and receipt of CNG rebate	\$ 1.919	15.5	Lower rates and receipt of CNG rebate
Insurance	NR	\$ 0.291	50.0	Timing of payments	\$ 1.165	31.0	Timing of payments
Claims	NR	\$ 0.024	1.0	(a)	\$ 0.096	0.4	(a)
Maintenance and Other Operating Contracts	NR	\$ 1.433	33.5	Timing of Shop procurement contacts and inter-agency bus parts charges.	\$ 6.521	23.7	Timing of Shop procurement contacts and inter-agency bus parts charges.
Professional Service Contracts	NR	\$ 0.572	21.8	Primarily due to timing of interagency billings	\$ 1.358	7.1	Primarily due to timing of interagency billings
Materials & Supplies	NR	\$ 1.140	24.3	Mainly due to timing of shop program	\$ 4.200	11.5	Mainly due to timing of shop program
Other Business Expense	NR	\$ (0.286)	*	Higher AFC collection fees and mobility tax	\$ (0.624)	(29.3)	Higher AFC collection fees and mobility tax
Depreciation	NR	\$ (1.925)	(66.7)	Non cash expense	\$ (7.371)	(22.0)	Non cash expense
Other Post Employment Benefits	NR	\$ 1.632	19.1	Non cash expense	\$ 6.528	8.8	Non cash expense
GASB 68 Pension Expense Adjustment		\$ 5.742	100.0	Non cash expense	\$ 22.968	100.0	Non cash expense
Environmental Remediation		\$ -	-		\$ (0.026)	-	
Payroll	R	\$ 0.059	21.0	Timing/delay in reimbursable projects and vacancies	\$ 0.409	20.0	Timing/delay in reimbursable projects and vacancies
Health and Welfare	R	\$ 0.052	45.6	(a)	\$ 0.248	33.2	Timing/delay in reimbursable projects
Pension	R	\$ 0.021	40.4		\$ 0.102	29.9	
Other Fringe Benefits	R	\$ 0.019	38.0		\$ 0.096	28.8	
Maintenance and Other Operating Contracts	R	\$ 0.033	*	Timing/delay in reimbursable projects	\$ 0.132	*	Timing/delay in reimbursable projects
Materials & Supplies	R	\$ 0.102	*	Timing/delay in reimbursable projects	\$ 0.414	*	Timing/delay in reimbursable projects
Total Expense Variance		\$ 2.105	2.8		\$ 20.365	3.2	
Net Variance		\$ 1.866	3.5		\$ 21.311	4.7	

(a) - Variance less than 5% or \$100K

MTA BUS COMPANY
July FINANCIAL PLAN 2016 MID YEAR FORECAST
CASH RECEIPTS AND EXPENDITURES
(\$ in millions)

	September 2016					Year-To-Date				
			Favorable (Unfavorable)					Favorable (Unfavorable)		
	Mid Year Forecast	Actual	Variance	Percent		Mid Year Forecast	Actual	Variance	Percent	
Receipts										
Farebox Revenue	\$ 17.610	\$ 16.872	\$ (0.738)	(4.2)	\$	157.141	\$ 159.406	\$ 2.265	1.4	
Other Operating Revenue	2.018	1.821	(0.197)	(9.8)		14.972	16.640	1.668	11.1	
Capital and Other Reimbursements	0.500	0.355	(0.145)	(29.0)		3.908	3.539	(0.369)	(9.4)	
Total Receipts	\$ 20.128	\$ 19.048	\$ (1.080)	(5.4)	\$	176.021	\$ 179.585	\$ 3.564	2.0	
Expenditures										
<i>Labor:</i>										
Payroll	\$ 19.983	\$ 20.355	\$ (0.372)	(1.9)	\$	210.072	\$ 220.285	\$ (10.213)	(4.9)	
Overtime	4.309	5.234	(0.925)	(21.5)		40.806	42.931	(2.125)	(5.2)	
Health and Welfare	6.112	5.492	0.620	10.1		43.247	39.720	3.527	8.2	
OPEB Current Payment	2.050	1.840	0.210	10.2		17.758	16.768	0.990	5.6	
Pensions	3.690	3.661	0.029	0.8		33.497	33.382	0.115	0.3	
Other Fringe Benefits	4.358	3.467	0.891	20.4		37.867	36.986	0.881	2.3	
GASB Account	-	-	-	-		-	-	-	-	
Reimbursable Overhead	-	-	-	-		-	-	-	-	
Total Labor Expenditures	\$ 40.502	\$ 40.049	\$ 0.453	1.1	\$	383.247	\$ 390.072	\$ (6.825)	(1.8)	
<i>Non-Labor:</i>										
Electric Power	\$ 0.153	\$ 0.131	\$ 0.022	14.4	\$	1.263	\$ 1.149	\$ 0.114	9.0	
Fuel	1.837	0.642	1.195	65.1		12.449	10.432	2.017	16.2	
Insurance	1.150	0.104	1.046	91.0		5.369	1.027	4.342	80.9	
Claims	2.426	1.625	0.801	33.0		17.722	22.487	(4.765)	(26.9)	
Maintenance and Other Operating Contracts	3.923	2.407	1.516	38.7		28.795	22.740	6.055	21.0	
Professional Service Contracts	3.842	1.167	2.675	69.6		26.490	18.231	8.259	31.2	
Materials & Supplies	4.843	3.579	1.264	26.1		36.810	30.393	6.417	17.4	
Other Business Expenses	0.191	0.558	(0.367)	*		2.028	2.754	(0.726)	(35.8)	
Total Non-Labor Expenditures	\$ 18.366	\$ 10.214	\$ 8.152	44.4	\$	130.927	\$ 109.214	\$ 21.713	16.6	
<i>Other Expenditure Adjustments :</i>										
Other	-	-	-	-		-	-	-	-	
Total Other Expenditure Adjustments	\$ -	\$ -	\$ -	-	\$	-	\$ -	\$ -	-	
Total Expenditures	\$ 58.868	\$ 50.263	\$ 8.605	14.6	\$	514.174	\$ 499.286	\$ 14.888	2.9	
Operating Cash Surplus/(Deficit)	\$ (38.740)	\$ (31.215)	\$ 7.525	19.4	\$	(338.153)	\$ (319.701)	\$ 18.452	5.5	

NOTE: Totals may not add due to rounding

MTA BUS COMPANY
July FINANCIAL PLAN 2016 MID YEAR FORECAST
EXPLANATION OF VARIANCES BETWEEN ACTUAL CASH BASIS
(\$ in millions)

	September 2016				Year-To-Date			
	Favorable (Unfavorable) Variance		Reason for Variance		Favorable (Unfavorable) Variance		Reason for Variance	
Operating Receipts or Disbursements	\$	%			\$	%		
Farebox Revenue	\$	(0.738)	(4.2)	Timing of fare reimbursements	\$	2.265	1.4	Higher ridership
Other Operating Revenue		(0.197)	(9.8)	Timing of senior citizens fare reimbursements and advertising collections		1.668	11.1	Reimbursements from prior periods/student fares and shuttle service reimbursements
Capital and Other Reimbursements		(0.145)	(29.0)	Timing/delay in reimbursable projects and vacancies		(0.369)	(9.4)	Timing/delay in reimbursable projects and vacancies
Total Receipts	\$	(1.080)	(5.4)		\$	3.564	2.0	
Payroll	\$	(0.372)	(1.9)	Timing of Payroll taxes	\$	(10.213)	(4.9)	August was a 3 Payroll month that was budgeted later in the year
Overtime		(0.925)	(21.5)	Mainly due to running time/traffic, vacancy, absentee coverage requirements and rate variances		(2.125)	(5.2)	Mainly due to running time/traffic, vacancy, absentee coverage requirements and rate variances
Health and Welfare (including OPEB)		0.830	10.2	Timing of payments		4.517	7.4	Timing of payments
Pension		0.029	0.8	(a)		0.115	0.3	Timing of payments
Other Fringe Benefits		0.891	20.4	Lower interagency payments		0.881	2.3	Lower interagency payments
GASB		-	-			-	-	
Electric Power		0.022	14.4	(a)		0.114	9.0	(a)
Fuel		1.195	65.1	Lower rates and receipt of CNG rebate		2.017	16.2	Lower rates and receipt of CNG rebate
Insurance		1.046	91.0	Timing of payments		4.342	80.9	Timing of payments
Claims		0.801	33.0	Timing of claim payouts		(4.765)	(26.9)	Payout of multiple claims
Maintenance and Other Operating Contracts		1.516	38.7	Timing of Shop procurement contacts and inter-agency bus parts charges.		6.055	21.0	Timing of Shop procurement contacts and inter-agency bus parts charges.
Professional Service Contracts		2.675	69.6	Primarily due to timing of interagency billings		8.259	31.2	Primarily due to timing of interagency billings
Materials & Supplies		1.264	26.1	Mainly due to timing of shop program		6.417	17.4	Mainly due to timing of shop program
Other Business Expenditure		(0.367)	*	Higher AFC collection fees		(0.726)	(35.8)	Higher AFC collection fees and mobility tax
Total Expenditures	\$	8.605	14.6		\$	14.888	2.9	
Net Cash Variance	\$	7.525	19.4		\$	18.452	5.5	

(a) - Variance less than 5% or \$100K

MTA BUS COMPANY
July FINANCIAL PLAN 2016 MID YEAR FORECAST
CASH CONVERSION (CASH FLOW ADJUSTMENTS)

(\$ in millions)

	September 2016				Year-To-Date			
	Mid Year Forecast	Actual	Favorable (Unfavorable) Variance	Percent	Mid Year Forecast	Actual	Favorable (Unfavorable) Variance	Percent
Receipts								
Farebox Revenue	\$ (0.641)	\$ (1.518)	\$ (0.877)	*	\$ (1.398)	\$ (1.146)	\$ 0.252	18.0
Other Operating Revenue	-	(0.104)	(0.104)	-	(0.218)	1.117	1.335	*
Capital and Other Reimbursements	(0.142)	(0.002)	0.140	98.6	(0.199)	0.832	1.031	*
Total Receipts	\$ (0.783)	\$ (1.624)	\$ (0.841)	*	\$ (1.815)	\$ 0.803	\$ 2.618	*
Expenditures								
<i>Labor:</i>								
Payroll	\$ 1.668	\$ 4.618	\$ 2.950	*	\$ (9.086)	\$ (12.292)	\$ (3.206)	(35.3)
Overtime	-	0.019	0.019	-	0.076	0.199	0.123	*
Health and Welfare	(1.067)	0.617	1.684	*	3.568	8.664	5.096	*
OPEB Current Payment	(0.011)	-	0.011	100.0	0.016	0.691	0.675	*
Pensions	(0.015)	0.030	0.045	*	0.182	0.240	0.058	31.6
Other Fringe Benefits	(0.629)	3.368	3.997	*	2.022	9.879	7.857	*
GASB Account	-	-	-	-	-	-	-	-
Reimbursable Overhead	-	(0.117)	(0.117)	-	(0.516)	(0.913)	(0.397)	(76.9)
Total Labor Expenditures	\$ (0.055)	\$ 8.535	\$ 8.590	*	\$ (3.736)	\$ 6.468	\$ 10.204	*
<i>Non-Labor:</i>								
Traction and Propulsion Power	\$ -	\$ -	-	-	\$ -	\$ (0.000)	(0.000)	-
Fuel for Buses and Trains	(0.050)	(0.317)	(0.267)	*	(0.074)	0.024	0.098	*
Insurance	(0.568)	0.187	0.755	*	(1.613)	1.564	3.177	*
Claims	(0.002)	0.775	0.777	*	3.974	(0.888)	(4.861)	*
Maintenance and Other Operating Contracts	0.394	0.444	0.050	12.8	(1.186)	(1.784)	(0.598)	(50.4)
Professional Service Contracts	(1.218)	0.885	2.103	*	(7.434)	(0.533)	6.901	92.8
Materials & Supplies	(0.034)	(0.012)	0.022	64.0	0.104	1.907	1.803	*
Other Business Expenditures	(0.035)	(0.116)	(0.081)	*	0.104	0.002	(0.102)	(97.8)
Total Non-Labor Expenditures	\$ (1.514)	\$ 1.845	\$ 3.359	*	\$ (6.126)	\$ 0.292	\$ 6.418	*
Other Expenditure Adjustments:								
Other	-	-	-	-	-	-	-	-
Total Other Expenditure Adjustments	\$ -	\$ -	\$ -	-	\$ -	\$ -	\$ -	-
Gap Closing Expenditures:								
*Additional Actions for Budget Balance: Expenditures Impact	-	-	-	-	-	-	-	-
Total Gap Closing Expenditures	-	-	-	-	-	-	-	-
Total Expenses before Depreciation and OPEB	\$ (1.569)	\$ 10.380	\$ 11.949	*	\$ (9.862)	\$ 6.760	\$ 16.622	*
Depreciation Adjustment	2.886	4.811	1.925	66.7	33.575	40.946	7.371	22.0
Other Post Employment Benefits	8.547	6.915	(1.632)	(19.1)	74.503	67.975	(6.528)	(8.8)
GASB 68 Pension Expense Adjustment	5.742	-	(5.742)	(100.0)	22.968	-	(22.968)	(100.0)
Environmental Remediation	-	-	-	-	-	0.026	0.026	-
Total Expenses/Expenditures	\$ 15.606	\$ 22.106	\$ 6.500	41.7	\$ 121.184	\$ 115.707	\$ (5.477)	(4.5)
Total Cash Conversion Adjustments	\$ 14.823	\$ 20.483	\$ 5.660	38.2	\$ 119.369	\$ 116.510	\$ (2.859)	(2.4)

NOTE: Totals may not add due to rounding

MTA BUS COMPANY
July FINANCIAL PLAN 2016 MID YEAR FORECAST
Utilization
(In millions)

	<u>September 2016</u>			<u>Year-to-date as of September 2016</u>		
	Mid Year Forecast	Actual	Favorable/ (Unfavorable) Variance	Mid Year Forecast	Actual	Favorable/ (Unfavorable) Variance
<u>Farebox Revenue</u>						
Fixed Route	\$ 18.251	\$ 18.390	\$ 0.139	\$ 158.539	\$ 160.552	\$ 2.013
Total Farebox Revenue	\$ 18.251	\$ 18.390	\$ 0.139	\$ 158.539	\$ 160.552	\$ 2.013
<u>Ridership</u>						
Fixed Route	10.844	10.898	0.054	93.141	94.268	1.127
Total Ridership	10.844	10.898	0.054	93.141	94.268	1.127

MTA BUS COMPANY
JULY FINANCIAL PLAN - 2016 MID - YEAR FORECAST
TOTAL POSITIONS BY FUNCTION AND DEPARTMENT
NON-REIMBURSABLE / REIMBURSABLE AND FULL - TIME EQUIVALENTS
SEPTEMBER 2016

FUNCTION/DEPARTMENT	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Explanation of Variances
Administration				
Office of the EVP	3	3	-	
Human Resources	19	14	5	
Office of Management and Budget	14	12	2	
Technology & Information Services	-	-	-	
Material	18	16	2	
Controller	17	20	(3)	
Office of the President	6	3	3	
System Safety Administration	5	1	4	
Law	21	22	(1)	
Corporate Communications	-	-	-	
Labor Relations	4	4	-	
Strategic Office	24	17	7	
Non-Departmental	23	-	23	
Total Administration	154	112	42	Vacancies to be filled
Operations				
Buses	2,249	2,290	(41)	
Office of the Executive VP	4	4	-	
Safety & Training	29	36	(7)	
Road Operations	120	124	(4)	
Transportation Support	22	25	(3)	
Operations Planning	33	31	2	
Revenue Control	27	27	-	
Total Operations	2,484	2,537	(53)	Students in Training
Maintenance				
Buses	757	738	19	
Maintenance Support/CMF	219	200	19	
Facilities	77	66	11	
Supply Logistics	95	91	4	
Total Maintenance	1,148	1,095	53	Vacancies to be filled
Capital Program Management	37	26	11	
Total Engineering/Capital	37	26	11	Vacancies to be filled
Security	22	18	4	
Total Public Safety	22	18	4	
Total Positions	3,845	3,788	57	
Non-Reimbursable	3,805	3,752	53	
Reimbursable	40	36	4	
Total Full-Time	3,830	3,774	56	
Total Full-Time Equivalents	15	14	1	

MTA BUS COMPANY
JULY FINANCIAL PLAN - 2016 - MID YEAR FORECAST
TOTAL FULL-TIME POSITIONS AND FTE'S BY FUNCTION AND OCCUPATION
SEPTEMBER 2016

JULY 2016

FUNCTION/OCCUPATIONAL GROUP	Mid-Year Forecast	Actual	Favorable (Unfavorable) Variance	Explanation of Variances
Administration				
Managers/Supervisors	63	47	16	
Professional, Technical, Clerical	73	65	8	
Operational Hourlies	18	-	18	
Total Administration	154	112	42	Vacancies to be filled
Operations				
Managers/Supervisors	303	306	(3)	
Professional, Technical, Clerical	51	52	(1)	
Operational Hourlies	2,130	2,179	(49)	
Total Operations	2,484	2,537	(53)	Students in Training
Maintenance				
Managers/Supervisors	225	219	6	
Professional, Technical, Clerical	26	21	5	
Operational Hourlies	897	855	42	
Total Maintenance	1,148	1,095	53	Vacancies to be filled
Engineering/Capital				
Managers/Supervisors	21	15	6	
Professional, Technical, Clerical	16	11	5	
Operational Hourlies	-	-	-	
Total Engineering/Capital	37	26	11	Vacancies to be filled
Public Safety				
Managers/Supervisors	17	14	3	
Professional, Technical, Clerical	5	4	1	
Operational Hourlies	-	-	-	
Total Public Safety	22	18	4	
Total Baseline Positions				
Managers/Supervisors	629	601	28	
Professional, Technical, Clerical	171	153	18	
Operational Hourlies	3,045	3,034	11	
Total Baseline Positions	3,845	3,788	57	

MTA Bus Company
July Financial Plan -2016 Mid-Year Forecast Budget
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	September						September Year-to-Date					
	Mid-Year Budget		Actuals		Var. - Fav./(Unfav)		Mid-Year Budget		Actuals		Var. - Fav./(Unfav)	
	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$	Hours	\$
NON-REIMBURSABLE OVERTIME												
<u>Scheduled Service</u>	51,326	\$2.136	48,088	\$2.359	3,238	(\$0.223)	454,521	\$19.785	438,879	\$20.721	15,642	(\$0.937)
					6.3%	-10.4%					3.4%	-4.7%
<u>Unscheduled Service</u>	10,692	\$0.469	16,337	\$0.704	(5,645)	(\$0.235)	91,577	\$4.364	96,919	\$4.200	(5,342)	\$0.164
					-52.8%	-50.1%					-5.8%	3.8%
<u>Programmatic/Routine Maintenance</u>	17,294	\$0.754	22,975	\$1.092	(5,680)	(\$0.338)	159,455	\$7.599	180,843	\$8.663	(21,387)	(\$1.064)
					-32.8%	-44.8%					-13.4%	-14.0%
<u>Unscheduled Maintenance</u>	0	\$0.000	0	\$0.000	0	-	0		0	\$0.000	0	\$0.000
					0.0%	0.0%					0.0%	0.0%
<u>Vacancy/Absentee Coverage</u>	15,676	\$0.810	22,908	\$1.053	(7,232)	(\$0.243)	160,914	\$7.418	178,475	\$8.285	(17,561)	(\$0.867)
					-46.1%	-30.0%					-10.9%	-11.7%
<u>Weather Emergencies</u>	2,925	\$0.103	152	\$0.007	2,773	\$0.096	30,270	\$1.385	18,397	\$0.843	11,873	\$0.542
					*	*					*	*
<u>Safety/Security/Law Enforcement</u>	224	\$0.011	110	\$0.006	114	\$0.005	1,435	\$0.094	902	\$0.051	533	\$0.044
					50.9%	47.6%					37.2%	46.4%
<u>Other</u>	312	\$0.026	271	\$0.033	42	(\$0.007)	2,690	\$0.236	2,386	\$0.367	305	(\$0.131)
					*	*					*	*
Subtotal	98,450	\$4.309	110,841	\$5.253	(12,391)	(\$0.944)	900,863	\$40.882	916,801	\$43.130	(15,938)	(\$2.248)
					-12.6%	-21.9%					-1.8%	-5.5%
REIMBURSABLE OVERTIME	0	\$0.000	0	\$0.000	0	\$0.000	0	\$0.000	0	\$0.000	0	\$0.000
TOTAL OVERTIME	98,450	\$4.309	110,841	\$5.253	(12,391)	(\$0.944)	900,863	\$40.882	916,801	\$43.130	(15,938)	(\$2.248)
					-12.6%	-21.9%					-1.8%	-5.5%

Totals may not add due to rounding.

NOTE: Percentages are based on each type of Overtime and not on Total Overtime.

* Exceeds 100%

MTA Bus Company
July Financial Plan - 2016 Mid-Year Forecast Budget
Non-Reimbursable/Reimbursable Overtime
(\$ in millions)

	September			August Year-to-Date		
	Var. - Fav./(Unfav)		Explanations	Var. - Fav./(Unfav)		Explanations
	Hours	\$		Hours	\$	
NON-REIMBURSABLE OVERTIME						
<u>Scheduled Service</u>	3,238 6.3%	(\$0.2) -10.4%		15,642 3.4%	(\$0.9) -4.7%	Increase running time/traffic
<u>Unscheduled Service</u>	(5,645) -52.8%	(\$0.2) -50.1%		(5,342) -5.8%	\$0.2 3.8%	
<u>Programmatic/Routine Maintenance</u>	(5,680) -32.8%	(\$0.3) -44.8%		(21,387) -13.4%	(\$1.1) -14.0%	Heat related maintenance and Shop work
<u>Unscheduled Maintenance</u>	- 0.0%	\$0.0 0.0%		- 0.0%	\$0.0 0.0%	
<u>Vacancy/Absentee Coverage</u>	(7,232) -46.1%	(\$0.2) -30.0%		(17,561) -10.9%	(\$0.9) -11.7%	
<u>Weather Emergencies</u>	2,773 *	\$0.1 *		11,873 *	\$0.5 *	Winter Storm
<u>Safety/Security/Law Enforcement</u>	114 50.9%	\$0.0 47.6%		533 37.2%	\$0.0 46.4%	
<u>Other</u>	42 *	(\$0.0) *		305 *	(\$0.1) *	
Subtotal	(12,391) -12.6%	(\$0.9) -21.9%		(15,938) -1.8%	(\$2.2) -5.5%	
REIMBURSABLE OVERTIME	0 0.0%	\$0.0 0.0%		0 0.0%	\$0.0 0.0%	
TOTAL OVERTIME	(12,391)	(\$0.9)		(15,938)	(\$2.2)	

METROPOLITAN TRANSPORTATION AUTHORITY
2016 Overtime Reporting
Overtime Legend

REVISED OVERTIME DECOMPOSITION LEGEND DEFINITIONS

<u>Type</u>	<u>Definition</u>
<i>Scheduled Service</i>	Crew book/Regular Run/Shift hours (above 8 hours) required by train crews, bus/tower/block operators, transportation supervisors/dispatchers, fare sales and collection, Train & Engineers, as well as non-transportation workers whose work is directly related to providing service (includes coverage for holidays).
<i>Unscheduled Service</i>	Service coverage resulting from extraordinary events not related to weather, such as injuries, mechanical breakdowns, unusual traffic, tour length, late tour relief, and other requirements that arise that are non-absence related.
<i>Programmatic/Routine Maintenance</i>	<i>Program Maintenance</i> work for which overtime is planned (e.g. Railroad Tie Replacement, Sperry Rail Testing, Running Board Replacement Programs). This also includes Routine Maintenance work for which OT has been planned, as well as all other maintenance <u>not resulting from extraordinary events</u> , including running repairs. Program/Routine maintenance work is usually performed during hours that are deemed more practical in order to minimize service disruptions, and includes contractual scheduled pay over 8 hours.
<i>Unscheduled Maintenance</i>	Resulting from an <u>extraordinary event</u> (not weather-related) requiring the use of unplanned maintenance to perform repairs on trains, buses, subway and bus stations, depots, tracks and administrative and other facilities, including derailments, tour length and weekend coverage.
<i>Vacancy/Absentee Coverage</i>	Provides coverage for an absent employee or a vacant position.
<i>Weather Emergencies</i>	Coverage necessitated by extreme weather conditions (e.g. snow, flooding, hurricane, and tornadoes), as well as preparatory and residual costs.
<i>Safety/Security/Law Enforcement</i>	Coverage required to provide additional customer & employee protection and to secure MTA fleet facilities, transportation routes, and security training.
<i>Other</i>	Includes overtime coverage for clerical, administrative positions that are eligible for overtime.
<i>Reimbursable Overtime</i>	Overtime incurred to support projects that are reimbursed from the MTA Capital Program and other funding sources.

Report



FINANCIAL REPORTS: CAPITAL PROGRAM STATUS

Through September 30, New York City Transit's performance against its 2016 Capital Project Milestones was:

	(\$ in Millions)		
	<u>Planned</u>	<u>Achieved</u>	<u>%</u>
Design Starts	\$161.0	\$104.9	65
Design Completions	\$209.8	\$186.6	89
Construction Awards	\$2,706.7	\$1,530.3	57
Substantial Completions	\$1,835.5	\$1,489.9	81
Closeouts	\$4,951.2	\$372.6	8

During September, NYCT awarded projects totaling \$147.0 million, including:

- Sandy Repair and Mitigation of assets in the Clark Street Tube and Application of Rust Inhibiting Coating in the Montague Tube; and
- Sandy Long-Term Mitigation Measures at 11 Fan Plants in Manhattan and Queens.

During the same period, NYCT substantially completed projects totaling \$113.0 million, including:

- Station Component Repair at Four Locations on the Broadway-7th Avenue Line in Manhattan; and
- Two Contracts for Sandy Repairs at South Ferry Station Rooms.

Also during September, NYCT started four design projects for \$6.8 million, completed eight design projects for \$12.2 million, and closed out fourteen projects for \$72.2 million.

Capital Program Status
November 2016
(September 2016)

During September, NYCT awarded \$147.0 million in projects, including \$115.3 million for Sandy Repair and Resiliency of assets in the Clark Street Tube ② ③ and application of rust inhibiting coating in the Montague Tube ④, between Manhattan and Brooklyn. The work in the Clark Street Tube includes communication and power cable replacement, signal repair, repairs at one fan plant, replacement of mainline track, repairs at one pump room, and implementation of mitigation measures at three pump rooms. The work in the Montague Tube involves the application of rust inhibitor coating on exposed cast iron segments. Repair of damaged assets in the Clark Street Tube and the hardening of assets in the Clark Street and Montague Tubes will minimize damage from future storm surge events.

NYCT also awarded a \$26.7 million project for Sandy Long-Term Mitigation of 11 Fan Plants in Manhattan and Queens. This contract will address vulnerable sidewalk ventilation gratings that serve the 11 fan plant locations, adjoining tunnel segments, and associated below grade fan plants to provide protection from future storm surge events. The work includes the installation of mechanical closure device units in vent bays at 11 fan plant locations and long-term mitigation measures, including flood doors, manhole seals, equipment and personal hatches, flood logs and floor drain valves at 8 fan plant locations.

During September, NYCT substantially completed projects totaling \$113.0 million, including \$67.7 million for Station Component Repair at four locations on the Broadway-7th Avenue Line in Manhattan. Repair of deficient columns was addressed at 157th Street Station, brick arch repair was addressed at 181st Street and 168th Street Stations and scrubber room drainage repairs were addressed at 191st Street and 181st Street Stations. The work at 168th Street Station also included the installation of Help Point infrastructure.

NYCT also completed two contracts for \$6.4 million to repair South Ferry Station Rooms damaged in Superstorm Sandy. These two contracts addressed architectural, electrical, and lighting work in crew facilities, locker rooms, bathrooms, station storage rooms, track maintenance office and signal maintenance office at the Concourse Level of South Ferry Station. In addition, similar work was also completed in station employee facilities at Whitehall Street Station.

Also during September, NYCT started four design projects for \$6.8 million, completed eight design projects for \$12.2 million, and closed out fourteen projects for \$72.2 million.

The following table presents the base and final budget, closeout target date, and schedule variance for the fourteen projects that NYCT closed out in September.

Projects Closed During September 2016
(\$ in millions)

Project	Base Budget	Current Budget	Original Date	Months Delay
Help Point: 2 Stations (Montague Tube)	\$0.24	\$0.24	12/2014	21
Help Point: 6 Stations (Jacobs Package 1)	\$2.74	\$2.74	8/2015	13
Help Point: 15 Stations (Transit Wireless Phase 1A)	\$4.98	\$4.98	9/2015	12
Help Point: 15 Stations (Jacobs, Package 2)	\$6.37	\$6.37	9/2015	12
Two Street Stairs: 9 St / 4 Av [SBMP]	\$1.01	\$1.04	9/2015	12
Help Point: 15 Stations (Transit Wireless Ph 1B)	\$2.61	\$3.74	10/2015	11
Help Point: 20 Stations (Transit Wireless Phase 2A/2C)	\$5.30	\$6.80	12/2015	9
Yard Track - 2015	\$1.06	\$5.56	1/2016	8
Enterprise Security Network Infrastructure	\$11.49	\$10.39	6/2016	3
Mezzanine Ceiling/Walls: Morgan Avenue / Canarsie [SBMP]	\$1.48	\$1.79	7/2016	2
Help Point: 59 Stations - EFA & TAL	\$1.51	\$4.84	9/2016	0
Purchase 91 Non-Revenue Vehicles 2013	\$13.65	\$15.79	9/2016	0
Sprinkler & Alarm Sys, Ph 2: 14 St /8 Av Fire Sprinkler & #2 Egress	\$6.89	\$6.96	10/2016	(1)
Wireless Help Points: BW7 WPR	\$0.76	\$0.95	10/2016	(1)

The closeout of the Help Point contracts was delayed due to software and firmware upgrade. The closeout of Two Street Stairs at 9th Street Station on the 4th Avenue Line was delayed due to delays to completion of punchlist work.

Status of Fan Plants and Fans
(as of September 30, 2016)

<u>Fan Plants</u>	<u>September '15</u>	<u>September '16</u>	<u>More/(Less)</u>
All	189	193	4
Operable	171	178	7
Inoperable	18	15	(3)
Reduced Capacity	0	0	0

<u>Fan Units</u>	<u>September '15</u>	<u>September '16</u>	<u>More/(Less)</u>
All	400	414	14
Operable	356	384	28
Inoperable	44	30	(14)
Reduced Capacity	0	0	0

Inoperable Fan Plants and Fans
(as of September 30, 2016)

<u>Jurisdiction</u>	<u>Fan Plants</u>	<u>Fan Units</u>
Capital Program Management	10	18
MOW / Hydraulics	4	8
Warranty Work, Test Section Repair, MTA-CC or Cable Sct.	1	4
Total	15	30

CAPITAL PROJECT MILESTONE SUMMARY
2016
(THROUGH SEPTEMBER 30, 2016)

MILESTONES PLANNED		MILESTONES ACCOMPLISHED		PERCENT PERFORMANCE	
\$M	#	\$M	#	%(\$)	%(#)

September

Design Starts	\$17.6	11	\$6.8	4	38.5	36.4
Design Completions	18.0	13	12.2	8	67.6	61.5
Construction Awards	283.8	9	147.0	9	51.8	100.0
Substantial Completions	44.0	9	113.0	9	257.1	100.0
Closeouts	111.0	24	72.2	14	65.1	58.3

2016 Year-To-Date

Design Starts	\$161.0	124	\$104.9	83	65.2	66.9
Design Completions	209.8	121	186.6	75	88.9	62.0
Construction Awards	2,706.7	126	1,530.3	91	56.5	72.2
Substantial Completions	1,835.5	125	1,489.9	88	81.2	70.4
Closeouts	4,951.2	156	372.6	76	7.5	48.7

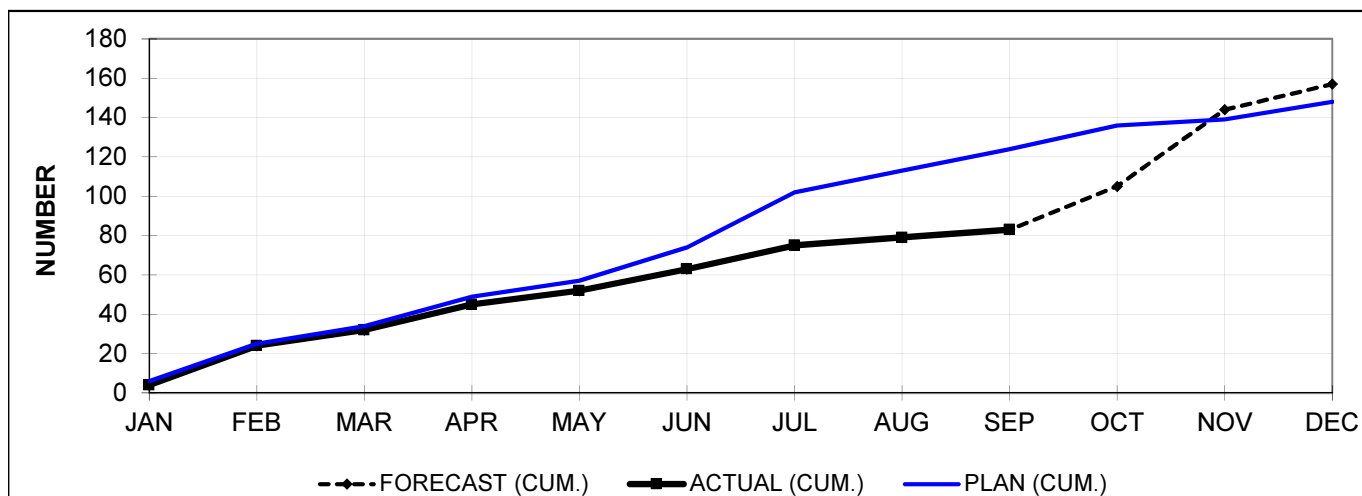
2016 Projected To-Year-End

	Initial Plan		Current Forecast		%(\$)	%(#)
Design Starts	\$188.1	148	\$201.6	157	107.1	106.1
Design Completions	249.7	152	257.3	129	103.0	84.9
Construction Awards	4,429.4	171	4,229.8	176	95.5	102.9
Substantial Completions	2,513.4	166	2,371.3	147	94.3	88.6
Closeouts	6,039.3	206	1,898.2	176	31.4	85.4

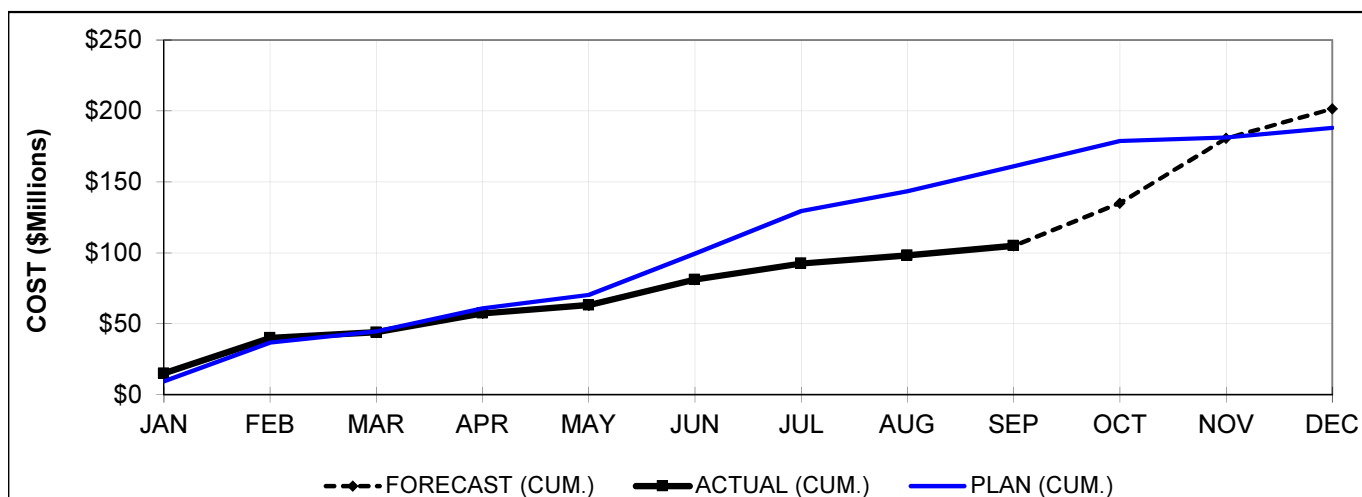
Totals do not include contingency, emergency funds and miscellaneous reserves;
performance percentages include early accomplishments.

2016 Design Starts Charts

As of September 2016



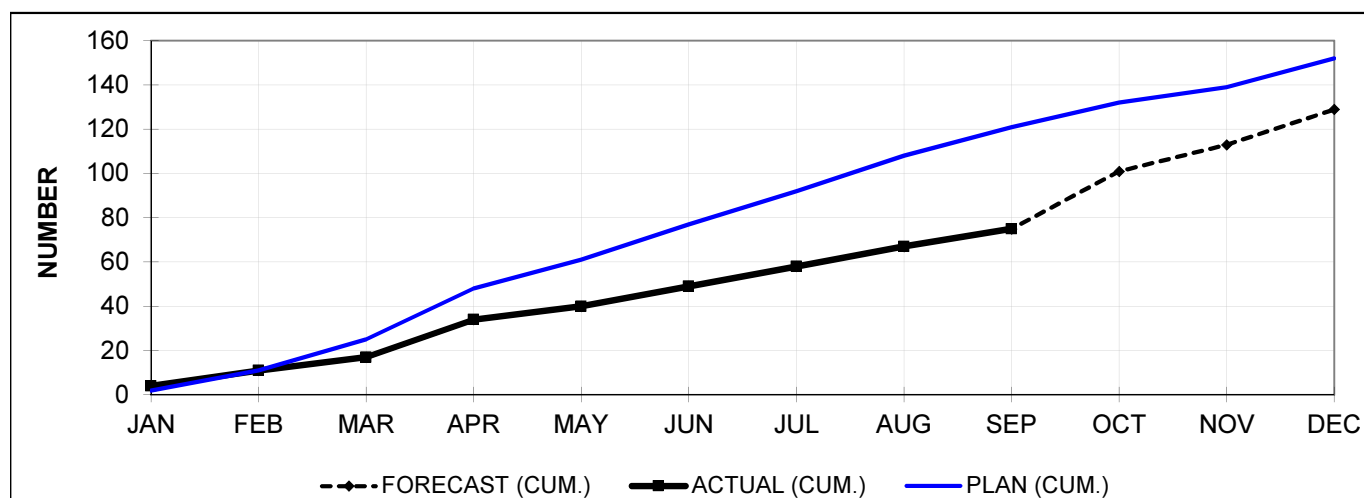
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
FORECAST (NON-CUM.)										22	39	13
ACTUAL (NON-CUM.)	4	20	8	13	7	11	12	4	4	12	3	9
PLAN (NON-CUM.)	6	19	9	15	8	17	28	11	11	12	3	9
FORECAST (CUM.)										105	144	157
ACTUAL (CUM.)	4	24	32	45	52	63	75	79	83	136	139	148
PLAN (CUM.)	6	25	34	49	57	74	102	113	124	136	139	148



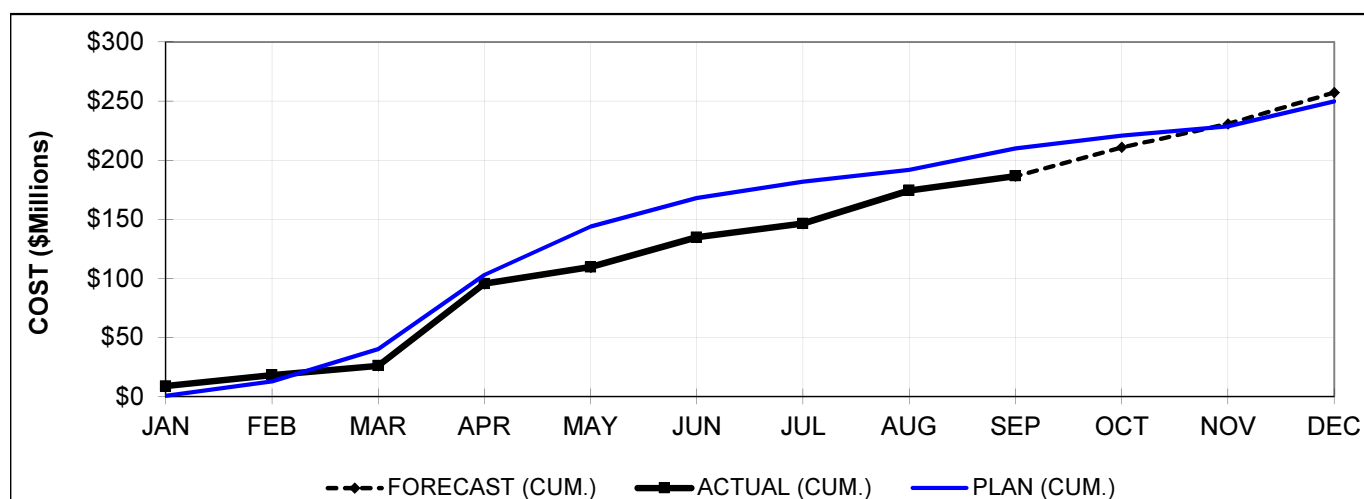
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
FORECAST (NON-CUM.)										30.1	45.7	20.8
ACTUAL (NON-CUM.)	15.0	25.0	3.9	13.4	5.8	18.0	11.4	5.6	6.8	17.9	2.5	6.8
PLAN (NON-CUM.)	9.5	27.3	7.8	16.3	9.5	29.1	29.9	14.1	17.6	17.9	2.5	6.8
FORECAST (CUM.)										135.0	180.7	201.6
ACTUAL (CUM.)	15.0	40.0	43.9	57.4	63.1	81.2	92.5	98.2	104.9	178.9	181.3	188.1
PLAN (CUM.)	9.5	36.8	44.6	60.9	70.4	99.5	129.4	143.5	161.0	178.9	181.3	188.1

2016 Design Completions Charts

As of September 2016



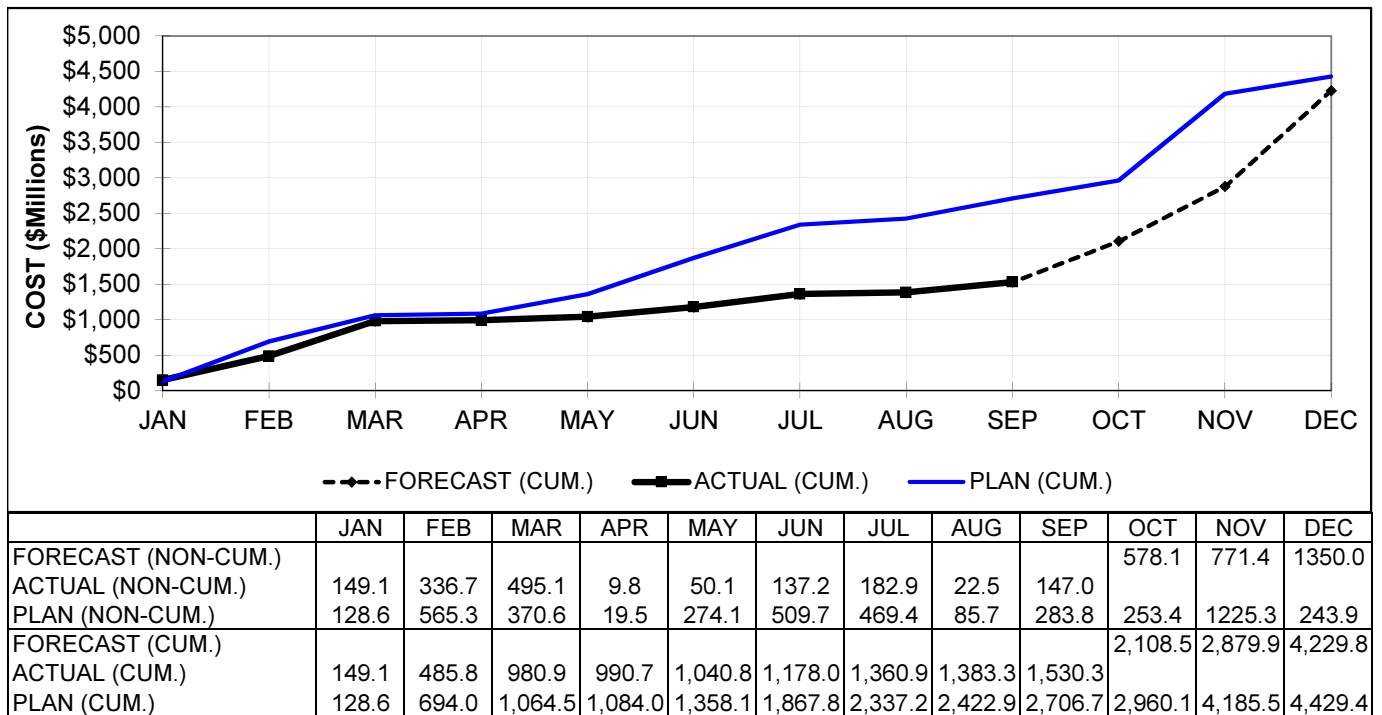
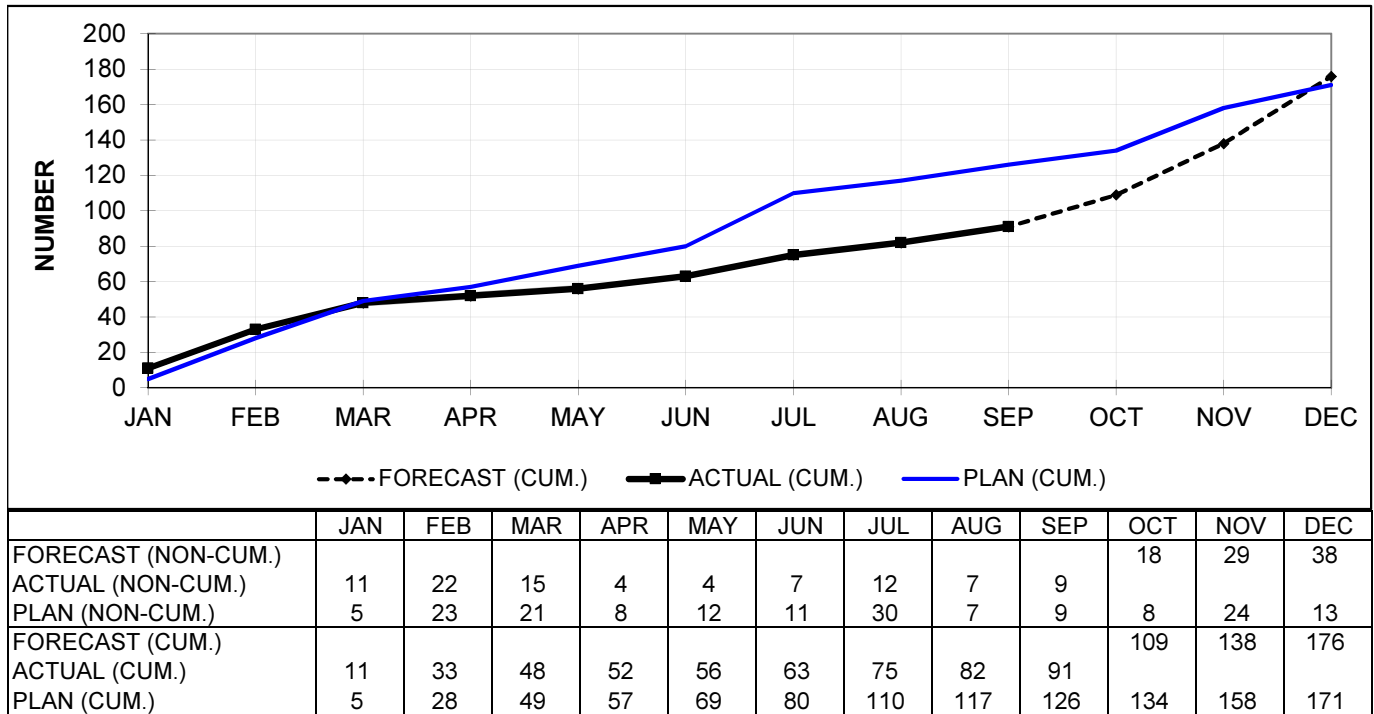
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
FORECAST (NON-CUM.)										26	12	16
ACTUAL (NON-CUM.)	4	7	6	17	6	9	9	9	8	11	7	13
PLAN (NON-CUM.)	2	9	14	23	13	16	15	16	13	11	7	13
FORECAST (CUM.)										101	113	129
ACTUAL (CUM.)	4	11	17	34	40	49	58	67	75	132	139	152
PLAN (CUM.)	2	11	25	48	61	77	92	108	121	132	139	152



	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
FORECAST (NON-CUM.)										24.4	19.8	26.5
ACTUAL (NON-CUM.)	8.9	9.3	7.8	69.4	14.1	25.2	11.6	28.1	12.2	11.0	7.8	21.1
PLAN (NON-CUM.)	0.6	12.3	27.5	62.7	41.0	23.9	13.9	10.1	18.0	11.0	7.8	21.1
FORECAST (CUM.)										211.0	230.8	257.3
ACTUAL (CUM.)	8.9	18.2	26.0	95.5	109.5	134.7	146.3	174.4	186.6	220.8	228.6	249.7
PLAN (CUM.)	0.6	12.9	40.3	103.0	144.0	167.9	181.8	191.8	209.8	220.8	228.6	249.7

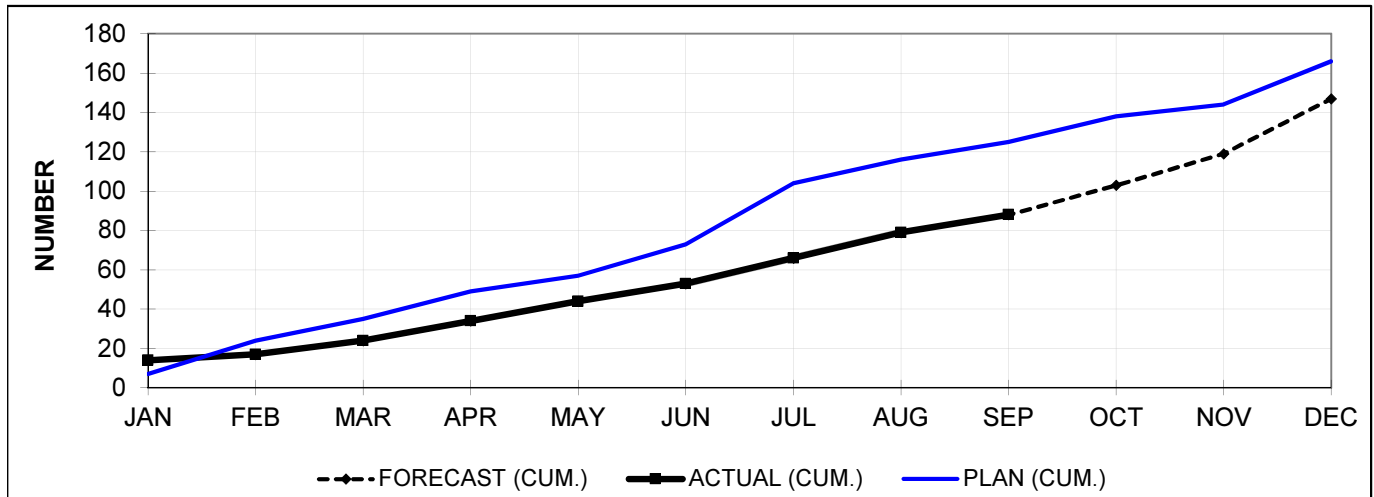
2016 Awards Charts

As of September 2016

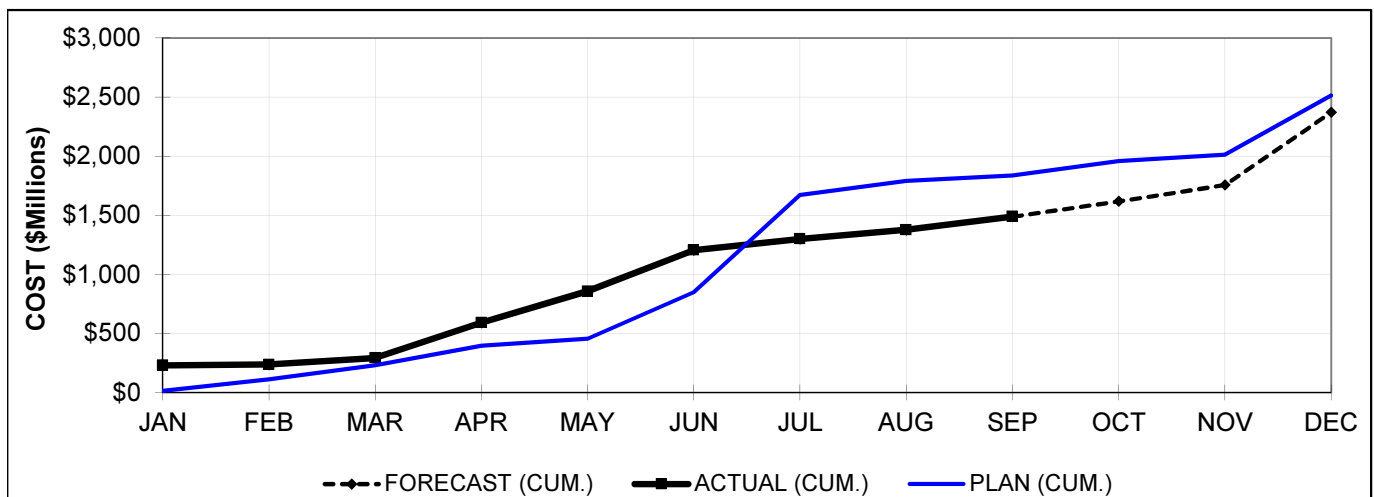


2016 Substantial Completions Charts

As of September 2016



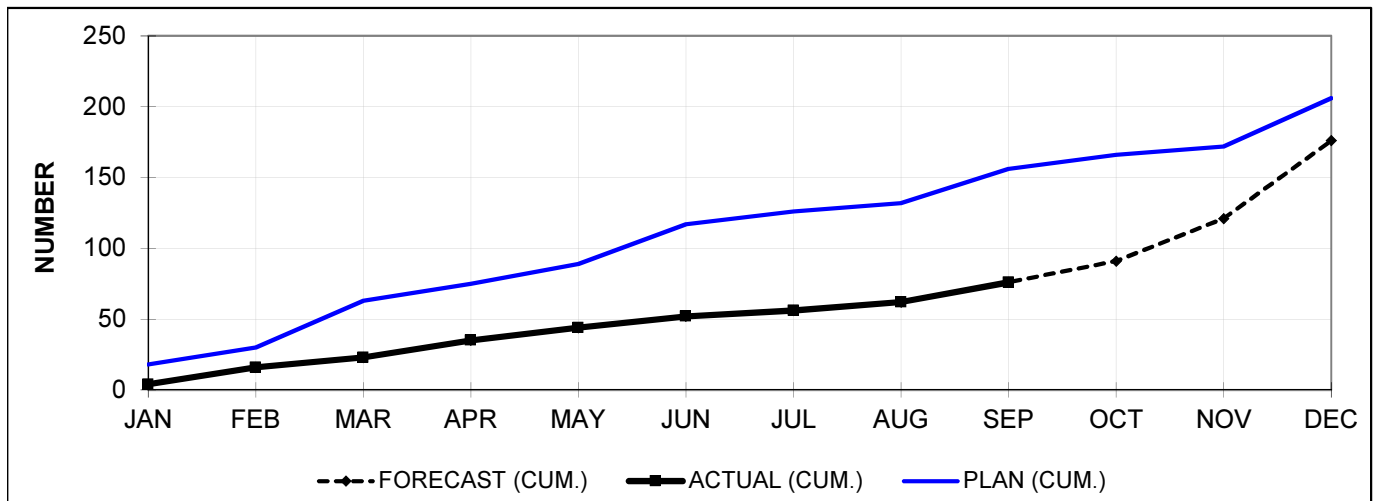
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
FORECAST (NON-CUM.)										15	16	28
ACTUAL (NON-CUM.)	14	3	7	10	10	9	13	13	9	13	6	22
PLAN (NON-CUM.)	7	17	11	14	8	16	31	12	9	13	6	22
FORECAST (CUM.)										103	119	147
ACTUAL (CUM.)	14	17	24	34	44	53	66	79	88	138	144	166
PLAN (CUM.)	7	24	35	49	57	73	104	116	125	138	144	166



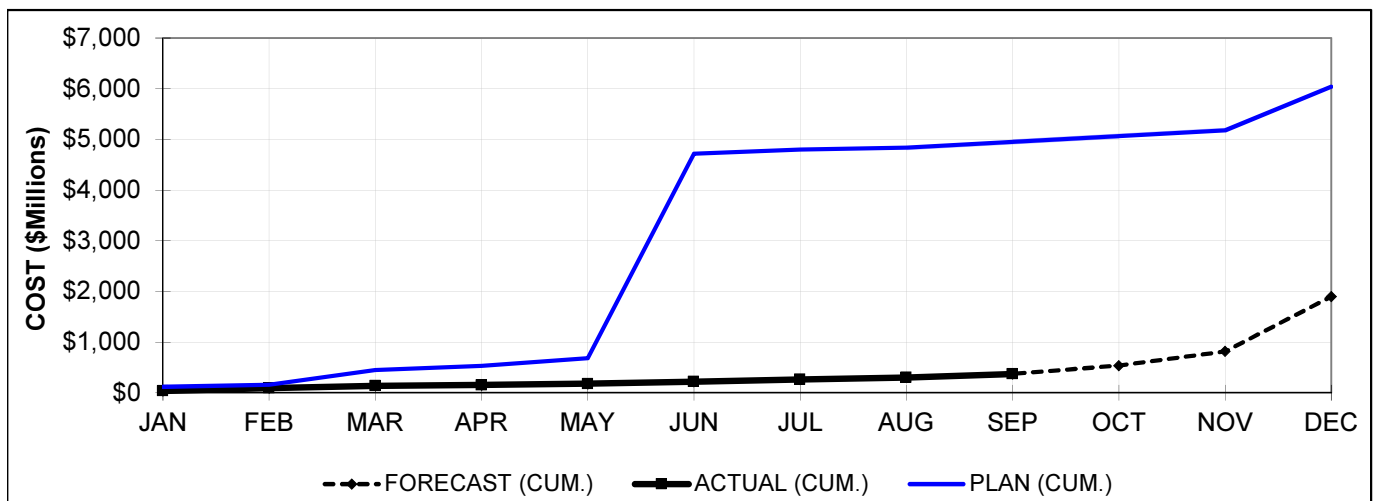
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
FORECAST (NON-CUM.)										128.9	138.1	614.4
ACTUAL (NON-CUM.)	230.9	7.4	55.6	297.1	266.0	347.8	95.3	76.8	113.0	123.6	52.1	502.1
PLAN (NON-CUM.)	15.0	96.9	119.4	166.3	57.6	393.8	821.8	120.8	44.0	123.6	52.1	502.1
FORECAST (CUM.)										1,618.8	1,756.9	2,371.3
ACTUAL (CUM.)	230.9	238.2	293.9	591.0	857.0	1,204.8	1,300.1	1,376.9	1,489.9	1,959.1	2,011.3	2,513.4
PLAN (CUM.)	15.0	111.9	231.2	397.6	455.2	849.0	1,670.8	1,791.6	1,835.5	1,959.1	2,011.3	2,513.4

2016 Closeouts Charts

As of September 2016




	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
FORECAST (NON-CUM.)										15	30	55
ACTUAL (NON-CUM.)	4	12	7	12	9	8	4	6	14	10	6	34
PLAN (NON-CUM.)	18	12	33	12	14	28	9	6	24	10	6	34
FORECAST (CUM.)										91	121	176
ACTUAL (CUM.)	4	16	23	35	44	52	56	62	76	166	172	206
PLAN (CUM.)	18	30	63	75	89	117	126	132	156	166	172	206





	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
FORECAST (NON-CUM.)										164.6	279.7	1081.4
ACTUAL (NON-CUM.)	33.4	56.8	43.4	17.8	24.9	41.8	42.9	39.4	72.2	113.1	114.2	860.8
PLAN (NON-CUM.)	118.0	43.1	285.8	85.5	148.6	4039.5	80.4	39.5	111.0	113.1	114.2	860.8
FORECAST (CUM.)										537.2	816.8	1,898.2
ACTUAL (CUM.)	33.4	90.2	133.6	151.5	176.3	218.1	261.0	300.4	372.6	5,064.3	5,178.5	6,039.3
PLAN (CUM.)	118.0	161.1	446.9	532.4	680.9	4,720.4	4,800.8	4,840.2	4,951.2	5,064.3	5,178.5	6,039.3

PROCUREMENTS

The Procurement Agenda this month includes 12 actions for a proposed expenditure of \$212.7M.

Subject	Request for Authorization to Award Various Procurements				
Department	Materiel – NYCT				
Department Head Name	Stephen M. Plochochi				
Department Head Signature					
Project Manager Name	Rose Davis				
Board Action					
Order	To	Date	Approval	Info	Other
1	Committee	11/14/16			
2	Board	11/16/16			

November 8, 2016			
Department Law and Procurement – MTACC			
Department Head Name Evan Eisland			
Department Head Signature 			
Internal Approvals			
	Approval		Approval
	President NYCT		 President MTACC
	Executive VP		President MTA Bus
X	Capital Prog. Management		X Subways
	Law		X Diversity/Civil Rights

Internal Approvals (cont.)							
Order	Approval	Order	Approval	Order	Approval	Order	Approval

PURPOSE:

To obtain approval of the Board to award various contracts and purchase orders, and to inform the NYC Transit Committee of these procurement actions.

DISCUSSION:

NYC Transit proposes to award Noncompetitive procurements in the following categories:

<u>Procurements Requiring Two-Thirds Vote:</u>		<u># of Actions</u>	<u>\$ Amount</u>
Schedule A:	Noncompetitive Purchases and Public Work Contracts	2	\$ 8.0 M
	<ul style="list-style-type: none"> Bombardier Transportation \$ 5.0 M (Holdings) USA, Inc. Westcode Incorporated \$ 3.0 M 		
<u>Schedules Requiring Majority Vote:</u>			
Schedule I:	Modification to Purchase and Public Work Contracts	2	\$ 0.7 M
	<ul style="list-style-type: none"> Vianova Technologies \$ 0.7 M Clever Devices, Ltd. 		
SUBTOTAL		4	\$ 8.7 M

MTA Capital Construction proposes to award Noncompetitive procurements in the following categories: NONE

MTA Bus Company proposes to award Noncompetitive procurements in the following categories: NONE

NYC Transit proposes to award Competitive procurements in the following categories:		
<u>Procurements Requiring Two-Thirds Vote:</u>	<u># of Actions</u>	<u>\$ Amount</u>
Schedule C: Competitive Requests for Proposals (Award of Purchase and Public Work Contracts)	1	\$ 72.1 M
	<u>SUBTOTAL</u>	<u>\$ 72.1 M</u>
MTA Capital Construction proposes to award Competitive procurements in the following categories:		
<u>Schedules Requiring Majority Vote:</u>		
Schedule F: Personal Service Contracts	2	\$ 122.8 M
	<u>SUBTOTAL</u>	<u>\$ 122.8 M</u>
MTA Bus Company proposes to award Competitive procurements in the following categories: NONE		
MTA Bus Company proposes to award Ratifications in the following categories: NONE		
NYC Transit proposes to award Ratifications in the following categories:		
<u>Schedules Requiring Majority Vote:</u>		
Schedule K: Ratification of Completed Procurement Actions	3	\$ 6.3 M
	<u>SUBTOTAL</u>	<u>\$ 6.3 M</u>
MTA Capital Construction proposes to award Ratifications in the following categories:		
<u>Schedules Requiring Majority Vote:</u>		
Schedule K: Ratification of Completed Procurement Actions	2	\$ 2.8 M
	<u>SUBTOTAL</u>	<u>\$ 2.8 M</u>
	<u>TOTAL</u>	<u>\$ 212.7 M</u>
<p>COMPETITIVE BIDDING REQUIREMENTS: The procurement actions in Schedules A, B, C, and D are subject to the competitive bidding requirements of PAL 1209 or 1265-a relating to contracts for the purchase of goods or public work. Procurement actions in the remaining Schedules are not subject to these requirements.</p> <p>BUDGET IMPACT: The purchases/contracts will result in obligating funds in the amounts listed. Funds are available in the current operating/capital budgets for this purpose.</p> <p>RECOMMENDATION: That the purchases/contracts be approved as proposed. (Items are included in the resolution of approval at the beginning of the Procurement Section.)</p>		

BOARD RESOLUTION

WHEREAS, in accordance with Section 1265-a and 1209 of the Public Authorities Law and the All-Agency Procurement Guidelines, the Board authorizes the award of certain noncompetitive purchase and public work contracts, and the solicitation and award of request for proposals in regard to purchase and public work contracts; and

WHEREAS, in accordance with the All-Agency Procurement Guidelines, the Board authorizes the award of certain noncompetitive miscellaneous service and miscellaneous procurement contracts, certain change orders to purchase, public work, and miscellaneous service and miscellaneous procurement contracts, and certain budget adjustments to estimated quantity contracts; and

WHEREAS, in accordance with Section 2879 of the Public Authorities Law and the All-Agency Guidelines for Procurement of Services, the Board authorizes the award of certain service contracts and certain change orders to service contracts.

NOW, the Board resolves as follows:

1. As to each purchase and public work contract set forth in annexed Schedule A, the Board declares competitive bidding to be impractical or inappropriate for the reasons specified therein and authorizes the execution of each such contract.
2. As to each request for proposals (for purchase and public work contracts) set forth in Schedule B for which authorization to solicit proposals is requested, for the reasons specified therein, the Board declares competitive bidding to be impractical or inappropriate, declares it is in the public interest to solicit competitive request for proposals, and authorizes the solicitation of such proposals.
3. As to each request for proposals (for purchase and public work contracts) set forth in Schedule C for which a recommendation is made to award the contract, the Board authorizes the execution of said contract.
4. As to each action set forth in Schedule D, the Board declares competitive bidding impractical or inappropriate for the reasons specified therein, and ratifies each action for which ratification is requested.
5. The Board authorizes the execution of each of the following for which Board authorization is required: (i) the miscellaneous procurement contracts set forth in Schedule E; (ii) the personal service contracts set forth in Schedule F; (iii) the miscellaneous service contracts set forth in Schedule G; (iv) the modifications to personal/miscellaneous service contracts set forth in Schedule H; (v) the contract modifications to purchase and public work contracts set forth in Schedule I; and (vi) the modifications to miscellaneous procurement contracts set forth in Schedule J.
6. The Board ratifies each action taken set forth in Schedule K for which ratification is requested.
7. The Board authorizes the budget adjustments to estimated contracts set forth in Schedule L

NOVEMBER 2016

LIST OF NONCOMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Procurements Requiring Two-Thirds Vote:

A. Noncompetitive Purchases and Public Work Contracts

(Staff Summaries required for all items greater than: \$100K Sole Source; \$250K Other Noncompetitive.) Note – in the following solicitations, NYC Transit attempted to secure a price reduction. No other substantive negotiations were held except as indicated for individual solicitations.

- | | | | |
|----|--|---------------------------|--------------------------------------|
| 1. | Bombardier Transportation (Holdings) USA, Inc.
Sole Source – Three-year omnibus
Purchase of traction motor and propulsion controller parts for NYC Transit subway cars. | \$5,000,000 (Est.) | <u><i>Staff Summary Attached</i></u> |
| 2. | Westcode Incorporated
Sole Source – Three-year omnibus
Purchase of air brake, door operator; and heating, ventilation, and air conditioning parts for NYC Transit subway cars. | \$3,000,000 (Est.) | <u><i>Staff Summary Attached</i></u> |

Procurements Requiring Majority Vote:

I. Modifications to Purchase and Public Work Contracts

(Staff Summaries required for individual change orders greater than \$250K. Approval without Staff Summary required for change orders greater than 15% of the adjusted contract amount which are also at least \$50K.)

- | | | |
|---|------------------------------|--------------------------------------|
| Vianova Technologies
Clever Devices Ltd. | \$703,191 (Aggregate) | <u>Staff Summary Attached</u> |
| 3. Contract# W-32147-1.1 | \$403,191 | ↓ |
| 4. Contract# W-32147-3.1 | \$300,000 | ↓ |
| Modification to the contracts for the test and evaluation of the design, provision, installation and maintenance of Digital Information Screens on buses, in order to increase the amount of Digital Information Screen systems as part of a test and evaluation project. | | |

Schedule A: Noncompetitive Purchases and Public Work Contracts

Item Number: 1

Vendor Name (Location) Bombardier Transportation (Holdings) USA, Inc. (Pittsburgh, Pennsylvania)		Contract Number NONE	Renewal? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Description Purchase of inventory and non-inventory replacement traction motor and propulsion controller parts		Total Amount: \$5,000,000 (Est.)	
Contract Term (including Options, if any) December 1, 2016–November 30, 2019		Funding Source <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> n/a		Requesting Dept./Div., Dept./Div. Head Name: Department of Materiel, Stephen M. Plochochi	
Procurement Type <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Noncompetitive			
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Omnibus Sole-Source Approval			

Discussion:

This is an omnibus approval request for items identified as obtainable only from Bombardier Transportation (Holdings) USA, Inc. (“Bombardier”), and will eliminate the need to advertise and prepare individual procurement staff summaries for Board approval for each procurement over the small purchase threshold. NYC Transit is not obligated to generate any purchase orders pursuant to an omnibus approval. Any purchases made under this approval will be made pursuant to paragraph 9(b) of Public Authorities Law 1209, which allows for purchases of items that are available from only a single responsible source to be conducted without competitive bidding.

There are approximately 6,708 items covered by this approval for the purchase of replacement traction motor and propulsion controller parts used on NYC Transit’s subway cars. These items are identified as obtainable only from Bombardier for the following reasons: sole pre-qualified item on the Qualified Products List and not available from any distributors or other sources; publicly advertised within a 12-month period without an acceptable alternate supplier; or proprietary to Bombardier. These items are advertised a minimum of once every 12 months to seek competition. A list of Bombardier’s sole-source items, as well as NYC Transit’s intention to buy items on the list without competitive bidding, is available for download from the NYC Transit website at any time by any prospective vendor. These sole source replacement parts will be used by the Division of Car Equipment (“DCE”) for Scheduled Maintenance System (“SMS”) and normal maintenance for 2,702 subway cars (315 R62, 824 R62A, 425 R68, 200 R68A, 220 R142A, 212 R143, and 506 R188) in the NYC Transit fleet.

The existing Bombardier omnibus approval for \$8,000,000 was approved by the Board in September 2013 and will expire on November 30, 2016. There is a remaining balance of \$2,199,059 of unexpended funds on the existing omnibus approval.

Procurement performed an analysis on the 56 contracts issued during the term of the existing omnibus approval that exceeded the small purchase threshold, which represents a total contract value of \$4,826,310. Of the 56 contracts, 28 items have comparative price history and represent 64.28%, or \$3,102,204, of the total dollar value of the contracts. A comparative price analysis of 27 items (one outlier was excluded) revealed an annual weighted average price increase of 0.56%, which compares favorably with the Producer Price Index over the same time period, which showed an annual average price increase of 1.23%.

Based on the current forecasts as well as projections for 2017 through 2020, it is anticipated that DCE will require approximately \$5,000,000 for the purchase from Bombardier of sole-source items exceeding the small purchase threshold. During the term of this new omnibus approval, the heavy overhaul (14-year SMS) on 200 R142A and 200 R62 subway car propulsion systems will be performed. Procurement believes that the amount requested will be sufficient to procure all sole source replacement parts that exceed the small purchase threshold from Bombardier for the next three-year period. Procurement and DCE will continue to research alternate sources of supply wherever possible. Under this new omnibus approval, pricing for any procurement is established by requesting a quote for each item from Bombardier on an as-required basis. Each item to be purchased under this new omnibus approval will be subject to a cost and/or price analysis and determination that the price is found to be fair and reasonable.

Schedule A: Noncompetitive Purchases and Public Work Contracts

Item Number: 2

Vendor Name (Location) Westcode Incorporated (West Chester, Pennsylvania)
Description Purchase of inventory and non-inventory replacement air brake, door operator; and heating, ventilation, and air-conditioning parts
Contract Term (including Options, if any) January 3, 2017–December 31, 2019
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> n/a
Procurement Type <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Noncompetitive
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Omnibus Sole-Source Approval

Contract Number NONE	Renewal? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Total Amount: \$3,000,000 (Est.)	
Funding Source <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	
Requesting Dept./Div., Dept./Div. Head Name: Department of Materiel, Stephen M. Plochochi	

Discussion:

This is an omnibus approval request for items identified as obtainable only from Westcode Incorporated (“Westcode”), and will eliminate the need to advertise and prepare individual procurement staff summaries for Board approval for each procurement over the small purchase threshold. NYC Transit is not obligated to generate any purchase orders pursuant to an omnibus approval. Any purchases made under this approval will be made pursuant to paragraph 9(b) of Public Authorities Law 1209, which allows for purchases of items that are available from only a single responsible source to be conducted without competitive bidding.

There are approximately 1,617 items covered by this approval for the purchase of replacement air brake, door operator; and heating, ventilation, and air-conditioning parts used on NYC Transit subway cars. These items are identified as obtainable only from Westcode for the following reasons: sole pre-qualified item on the Qualified Products List and not available from any distributors or other sources; publicly advertised within a 12-month period without an acceptable alternate supplier; or proprietary to Westcode. These items are advertised a minimum of once every 12 months to seek competition. A list of Westcode’s sole-source items, as well as NYC Transit’s intention to buy items on the list without competitive bidding, is available for download from the NYC Transit website at any time by any prospective vendor. These sole-source replacement parts will be used by the Division of Car Equipment (“DCE”) for Scheduled Maintenance System (“SMS”) and normal maintenance for approximately 3,118 subway cars (air brake and door operator parts for 752 R46 cars, door operator parts for 222 R32 and 50 R42 cars; and heating, ventilation, and air-conditioning parts for 220 R142A, 212 R143, and 1,662 R160 cars) in the NYC Transit fleet.

The existing Westcode omnibus approval for \$8,000,000 was approved by the Board in December 2013 and will expire on December 30, 2016. There is a remaining balance of \$3,946,377 of unexpended funds on the existing omnibus approval.

Procurement performed an analysis on the 47 contracts issued during the term of the existing omnibus approval that exceeded the small purchase threshold, which represents a total contract value of \$4,037,577. Of the 47 contracts, 24 items have comparative price history and represent 66.71%, or \$2,693,663, of the total dollar value of the contracts. A comparative price analysis of 22 items (two outliers were excluded) revealed an annual weighted average price decrease of 0.13%, which compares favorably with the Producer Price Index over the same time period, which showed an annual average price increase of 1.23%.

Based on current forecasts, as well as projections for 2017 through 2020, it is anticipated that DCE will require approximately \$3,000,000 for the purchase from Westcode of sole-source items exceeding the small purchase threshold. During the term of this new omnibus approval, the heavy overhaul (14-year SMS) on 222 R32, 174 R46, 200 R142A, and 323 R160 subway cars, and the overhaul (7-year SMS) on 707 R160 subway cars will be performed. Procurement believes that the amount requested will be sufficient to procure all sole-source replacement parts that exceed the small purchase threshold from Westcode for the next three-year period. Procurement and DCE will continue to research alternate sources of supply wherever possible. Under this new omnibus approval, pricing for any procurement is established by requesting a quote for each item from Westcode on an as-required basis. Each item purchased under this new omnibus approval will be subject to a cost and/or price analysis and determination that the price is found to be fair and reasonable.

Schedule I: Modifications to Purchase and Public Work Contracts

Item Number: 3-4

Vendor Name (Location) Vianova Technologies GmbH (Germaringen, Germany) Clever Devices Ltd. (Woodbury, New York)
Description Test and evaluation for the design, provision, installation and maintenance of Digital Information Screens on buses
Contract Term (including Options, if any) August 5, 2016–December 31, 2017
Option(s) included in Total Amt.? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> n/a
Procurement Type <input type="checkbox"/> Competitive <input checked="" type="checkbox"/> Noncompetitive
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification
Funding Source <input checked="" type="checkbox"/> Operating <input type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:
Requesting Dept./Div., Dept./Div. Head Name: Department of Buses, Darryl C. Irick

Contract Number	AWO/Mod. #
W-32147-1 (Vianova)	1
W-32147-3 (Clever)	
Original Amount:	1,613,608
W-32147-1: \$579,564 (Vianova)	
W-32147-2: \$614,044 (Strategic)	
W-32147-3: \$420,000 (Clever)	
Prior Modifications:	\$ 0
Prior Budgetary Increases:	\$ 0
Current Amount:	\$ 1,613,608
This Request:	\$ 703,191
W-32147-1: \$403,191	
W-32147-3: \$300,000	
% of This Request to Current Amt.:	
W-32147-1	69.6%
W-32147-3	71.4%
% of Modifications (including This Request) to Original Amount:	
W-32147-1	69.6%
W-32147-3	71.4%

Discussion:

These modifications are for the provision of additional Digital Information Screen systems from Vianova Technologies GmbH (“Vianova”) and Clever Devices, Ltd (“Clever”) as part of a test and evaluation project. This work will increase the number of buses equipped with Digital Information Screens being tested and expand the program to all five boroughs. The contract with Vianova will increase by \$403,191 from an estimated \$579,564 to \$982,755. The contract with Clever will increase by \$300,000 from an estimated \$420,000 to \$720,000. The total estimated value of these modifications is \$703,191.

Digital Information Screens are designed to enhance the customer experience on buses by providing audio/visual route and next-stop information, planned and unplanned service advisories, as well as geographic-specific advertising on screens strategically placed within the interior of the bus. The test and evaluation project will (1) allow for several Digital Information Screen systems to be evaluated in order to determine which work best in the NYC Transit operating environment, (2) qualify vendors for future new-bus procurements, (3) foster competition, and (4) develop a comprehensive specification for use in a future procurement to retrofit existing buses with a Digital Information Screen system.

The original contracts were awarded in August 2016 for the test and evaluation of Digital Information Screens on 131 NYC Transit buses. Under these contracts, (1) Vianova, W-32147-1, is installing its screens on 48 low-floor 60-foot Nova articulated buses operating on the M15 route in Manhattan, (2) Strategic Mapping, Inc., W-32147-2, is installing its screens on 48 low-floor 40-foot New Flyer buses operating on the B46 route in Brooklyn, and (3) Clever, W-32147-3, is installing its screens on 35 low-floor, 40-foot Orion hybrid buses operating on the S79 route in Staten Island.

Subsequent to the award of the initial test and evaluate contracts, NYC Transit’s Department of Buses identified two additional routes, in Queens (Q44) and the Bronx (Bx30), to add to the test and evaluation project to allow for the technology to be tested in all five boroughs concurrently while meeting NYC Transit’s commitment to outfit 200 buses with Digital Information Screens by the end of 2016. Vianova and Clever were selected to provide the additional routes based on their lower cost and willingness to commit to completing the installations by the end of 2016.

Under these modifications, Vianova will outfit 44 low-floor 60-foot Nova articulated buses running on the Q44 route with Digital Information Screens and Clever will outfit 25 low-floor 40-foot Orion hybrid buses running on the Bx30 route.

Procurement reviewed the final proposals and determined the pricing from each of the companies to be fair and reasonable and the Cost Price Analysis Unit concurred.

NOVEMBER 2016





LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL

Procurements Requiring Two-Thirds Vote:

C. Competitive Requests for Proposals (Award of Purchase and Public Work Contracts)
(Staff Summaries required for items requiring Board approval.)

- | | | |
|--|---------------------|--------------------------------------|
| 1. Citnalta-Forte, Joint Venture | \$72,121,000 | <u>Staff Summary Attached</u> |
| Four Proposals–12-month contract | | |
| Contract# A-36622A | | |
| Enhanced Station Initiative – Package 1 Improvements at Prospect Avenue, 53rd Street and Bay Ridge Avenue stations, along the 4th Avenue Line. | | |

Staff Summary

Item Number 1			
Department, Department Head Name: VP Materiel, Stephen M. Plochochi			
			
Internal Approvals			
Order	Approval	Date	Approval
1 	Materiel	6 X	CPM
2 X	Law	7 X	CFO
3 X	Budget	8 	EVP, NYCT
4 X	DDCR	9 	President, NYCT
5 X	Subways		

SUMMARY INFORMATION	
Vendor Name Citnalta-Forte, Joint Venture	Contract No. A-36622A
Description Enhanced Station Initiative—Package 1 Improvements at Prospect Avenue, 53rd Street, and Bay Ridge Avenue Stations, 4th Avenue Line Brooklyn	
Total Amount \$72,121,000	
Contract Term (including Options, if any) 12 months	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Noncompetitive	
Solicitation Type <input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	

PURPOSE:

To obtain approval of the Board to award a contract for Package 1 of the Enhanced Station Initiative (“ESI”) for the Design and Construction of Improvements at the Prospect Avenue, 53rd Street, and Bay Ridge Avenue stations along the 4th Avenue Line (BMT) in the borough of Brooklyn to Citnalta-Forte, Joint Venture (“CFJV”) in the amount of \$72,121,000 and a duration of 12 months. In accordance with MTA policy regarding the use of design-build, and to enhance competition and defray proposal costs, this solicitation included a stipend of \$150,000 to be paid to each unsuccessful proposer whose proposal met a defined standard. Accordingly, permission is also requested to pay a total stipend of \$450,000. This is the first of several construction contracts to be awarded under the ESI Program.

DISCUSSION:

The ESI Program’s focus is on improving the customer experience, the continued responsibility of providing a state of good repair in stations, and the development of underlying station aesthetics through design innovation, which together will result in stations that are cleaner and brighter, and through the use of more intuitive way-finding and the inclusion of twenty-first century amenities such as Wi-Fi and cellular connectivity, will be easier to navigate. This program includes thirty-one preselected stations throughout all five boroughs. The work in Package 1 includes (1) design, (2) demolition, concrete and steel repairs, new platform edges, waterproofing, and upgraded electrical and communication systems, (3) wall repairs, and new floor (granite) and stair finishes, (4) glass barriers in the fare control areas, (5) new signage and navigation systems providing service information at street level, fare control areas and platforms (dashboards), (6) new street entrance canopies, LED lighting, charging stations, benches and leaning bars, and (7) contemporary art. Additionally, in order to emphasize the schedule as a critical component of the ESI Program, Package 1 includes early completion incentives for reductions to station closure (bypasses) durations as well as liquidated damages for extended durations resulting from contractor delays.

An Authorizing Resolution requesting the use of a two-step competitive Request for Proposal (“RFP”) procurement process was approved by the Board in April 2016. A request for letters of interest and qualification packages was advertised in May 2016, resulting in the submission of seven responses on June 21, 2016. The Step-1 qualification packages were evaluated against preestablished selection criteria addressing relevant experience, general responsibility, financial resources, and safety record. Five teams were selected: CFJV; ECCO III Enterprises, Inc. (“ECCO III”); Judlau Contracting, Inc. (“Judlau”); Picone-Schiavone ESI (JV) (“Picone-Schiavone”); and Skanska USA Civil Northeast (“Skanska”). Pursuant to the Authorizing Resolution, only these pre-qualified teams are eligible to propose on all ESI RFPs in Step 2.

The Package 1 RFP was issued on July 27, 2016, and four proposals were received on October 6, 2016 from CFJV – \$71,981,783; Judlau – \$80,000,000; Picone-Schiavone – \$64,860,000; and Skanska - \$75,273,000. All four proposals were below the internal estimate. ECCO III elected not to submit a proposal for Package 1, reserving its efforts for Package 2, due to their extensive experience in design/build delivery of above-ground stations.

Proposals were evaluated by a Selection Committee (“SC”) utilizing preestablished selection criteria addressing the proposer’s design and construction approach; overall project schedule; team experience; project management, safety, quality, and M/WBE plans; qualifications and coordination of subcontractors; diversity practices; and other relevant matters. After technical factors, the overall project cost was considered. Supporting the SC evaluation was a Technical Advisory Subcommittee comprised of members from the Program Facilitator / Best Practices Consultant and various NYC Transit departments.

The SC reviewed the technical proposals, observed the oral presentations, and subsequently reviewed the price proposals submitted by each proposer. Members of the Technical Advisory Subcommittee reviewed proposal elements associated with the street canopy structure, alternate wall finishes and alternative design concepts for the street canopy, fare control areas, and platforms. After review and consideration of all proposals and input from the Technical Advisory Subcommittee, the SC recommended that CFJV and Judlau be invited for negotiations.

CFJV’s written proposal and oral presentation were the most complete and comprehensive of all four teams, earning them the highest technical score by all SC members. CFJV has assembled a robust design team, assigning dedicated design personnel to each station, and are proposing to start construction work before the station closures. This work includes rehabilitation of exit-only stairs as well as repairs to be performed during evening shifts. CFJV proposed the most significant schedule reductions to the station closures (bypasses) for all three stations. CFJV also provided three alternate proposals associated with the improvement of station wall finishes on the mezzanine, platform and track wall.

Judlau submitted a strong written proposal that was supported by a good oral presentation, earning them the second highest technical score. Like CFJV, Judlau has also assembled a robust design team, assigning dedicated design personnel to each station. Judlau’s approach is to focus on design and planning in order to maximize efficiency during the station closures. This proposal offered a moderate reduction to the station closures for only one station.

Skanska and Picone-Schiavone were not selected for negotiations, as their proposals were determined to be technically inferior to those of the selected teams.

Negotiations were conducted with both firms and included discussions of schedule, commercial and contractual terms and conditions, and overall cost including pricing assumptions. In the case of CFJV, discussions also included its proposed alternates. At the conclusion of negotiations, both teams were requested to submit their Best and Final Offer (“BAFO”). CFJV was instructed to provide BAFOs for two of its alternate proposals associated with track and platform wall finishes. BAFOs were received on October 28, 2016. CFJV’s BAFO was \$71,721,000, which represented a reduction of \$260,783, or (0.4%), from its initial proposal. Judlau’s BAFO was \$79,480,000, which represented a reduction of \$520,000, or (0.7%), from its initial proposal.

Upon review of the BAFOs, the SC unanimously recommended CFJV for award, determining that its proposal offered the best overall value to NYC Transit based on the selection criteria. In addition to the strength of CFJV’s technical proposal, which includes significant schedule improvement and the firm’s competitive pricing, this review also considered proposed savings of nearly \$700,000 in NYC Transit provided services and avoidance of potential incentive payments of nearly \$2.3 million associated with the reduced station bypass durations proposed by CFJV. The SC also unanimously recommended to accept CFJV’s \$400,000 alternate proposal to improve the appearance of the platform wall niches in each station. With the inclusion of this alternate proposal, the total contract price is \$72,121,000, which is (1) below the internal estimate, (2) more than 9% below the BAFO price submitted by Judlau, and (3) considered fair and reasonable based on the competitive nature of the RFP process.

This team’s recent station experience includes projects such as: A-35797 Improvements to 7 Stations and Line Structure Rehabilitation, West End Line (\$88.5M); A-36193, Repair of Brick Arch at the 168th and 181st Street Stations, Broadway/7th Avenue Line (\$42.2M); and A-36906, Component Repairs at the Astor Place, 51st, 59th, and 103rd Street Stations along the Lexington Avenue Line (\$11.4M).

A background check performed by the Materiel Department, pursuant to the All-Agency Responsibility Guidelines, revealed no significant adverse information (“SAI”) within the meaning of the All-Agency Responsibility Guidelines related to either member of the Citnalta-Forte joint venture. SAI was discovered with HAKS Engineers, Architects, and Land Surveyors, PC (“HAKS”), one of its subcontractors. However, HAKS was found to be responsible notwithstanding SAI and the award of the contract is subject to the approval of such responsibility finding by the NYC Transit President.

M/W/DBE INFORMATION:

The MTA Department of Diversity and Civil Rights has established goals at 15% MBE and 15% WBE. Award will not be made until the Department of Diversity and Civil Rights' approval is obtained. Citnalta Construction Corp. and Forte Construction Corp. have achieved the M/W/DBE goals on previous MTA contracts.

CAPITAL PROGRAM REPORTING:

This contract has been reviewed for compliance with the requirements of the 1986 legislation applicable to Capital Contract Awards and the necessary inputs have been secured from the responsible functional departments.

IMPACT ON FUNDING:

This project is funded by the MTA and will be managed by NYC Transit under the MTA Capital Program. Funding is available through the 2015-2019 Station Component Program and other identified capital program savings.

ALTERNATIVES:

Perform the work using in-house personnel. Not recommended as in-house forces do not have the resources to perform the scope of this project.

RECOMMENDATION:


That the Board approve the award of a contract for Package 1 of the Enhanced Station Initiative for the Design and Construction of Improvements at the Prospect Avenue, 53rd Street, and Bay Ridge Avenue stations along the 4th Avenue Line (BMT) in the Borough of Brooklyn to CFJV in the amount of \$72,121,000 and a duration of 12 months.

OCTOBER 2016**LIST OF COMPETITIVE PROCUREMENTS FOR BOARD APPROVAL****Procurements Requiring Majority Vote:****F. Personal Service Contracts**

(Staff Summaries required for all items greater than: \$100K Sole Source; \$250K Other Noncompetitive; \$1M Competitive.)

1. **AKRF, Inc.** **\$2,342,188** **Staff Summary Attached**
Two Proposals – 90-month contract
Contract# CM-1191
Environmental Consultant services for Phase 2 of the Second Avenue Subway Project.
2. **Phase 2 Partnership, a Joint Venture of WSP/Parsons Brinckerhoff and STV, Inc.** **\$120,453,095** **Staff Summary Attached**
Three Proposals – 90-month contract, with a 43-month option
Contract# CM-1190
Design Consultant services for Phase 2 of the Second Avenue Subway Project.

Staff Summary

Item Number 1			
Department, Department Head Name: VP Materiel, Stephen M. Plochochi			
			
Internal Approvals			
Order	Approval	Date	Approval
1	Materiel	6	EVP, MTACC
2	X Law	7	President, MTACC
3	X Budget		
4	X DDCR		
5	X Subways		

SUMMARY INFORMATION	
Vendor Name	Contract No.
AKRF, Inc.	CM-1191
Description	
Environmental Consultant for Phase 2 of the Second Avenue Subway Project	
Total Amount	
\$2,342,188	
Contract Term (including Options, if any)	
90 Months	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Procurement Type	
<input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Noncompetitive	
Solicitation Type	
<input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source	
<input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	

PURPOSE:

To obtain approval of the Board to award a competitively solicited Environmental Consultant contract to AKRF, Inc. ("AKRF") for the preparation of the Supplemental Environmental Review ("SER") and to provide environmental support services for Phase 2 of the Second Avenue Subway ("SAS") project in the not-to-exceed amount of \$2,342,188. The contract term is 90 months.

DISCUSSION:

Phase 2 of the SAS Project will extend subway service from the 96th Street and Second Avenue Station to three new stations located at 106th and 116th streets along Second Avenue, and 125th Street and Lexington Avenue. The completion of Phase 2 will achieve two major objectives: (1) address passenger congestion on the Lexington Avenue line, and (2) create an intermodal connection with Metro-North Railroad at 125th Street and Park Avenue.

AKRF will conduct the SER for SAS Phase 2 and prepare the required documentation. AKRF will also perform environmental support work throughout design and construction on an as-needed basis, and communicate with the separately retained Design Consultant and Community Outreach Consultant as required. AKRF will build on the work already completed for the SAS 2004 Final Environmental Impact Statement ("FEIS"), as well as information analyzed during the design and construction of Phase 1. In conducting the SER, AKRF will consider changes to the proposed design to be developed by the Design Consultant during the Extended Preliminary Engineering ("PE") Phase of design, which shall proceed concurrently with the SER. AKRF will also refine and clearly identify impacts that will result from the construction of Phase 2 of the SAS and will identify required mitigation measures. In addition, AKRF will provide consulting services in support of Federal Transit Administration ("FTA") grant applications, and also develop estimates of ridership, crowding levels, travel time savings, and other measures of effectiveness for all transit service alternatives required to be analyzed as part of the initial Phase 2 environmental and FTA grant documentation.

Selection was determined via a one-step qualifications-based procurement process established by the federal Brooks Act. Under the federal Brooks Act, contracts for architectural and engineering consulting firms, and other federally defined services are negotiated with the firm that is determined to be the most technically qualified by the Selection Committee ("SC") based on established evaluation criteria. Price is not a consideration in the selection or ranking of the firm. Since only one award is planned under this Request for Proposal ("RFP"), negotiations were conducted with the most technically preferred firm. A one-step solicitation was advertised in various publications, and direct notices were sent to potential providers. Two firms submitted proposals: AKRF and Arcadis of New York, Inc.

The SC reviewed the written technical proposals in accordance with the established evaluation criteria, which included: plan of approach, experience in relevant areas, experience and current workload of prime and sub-consultant key personnel, past performance on similar projects, management, and quality assurance. The SC also conducted oral presentations with both proposers. AKRF was unanimously determined by the SC to be the most technically qualified firm and was recommended for negotiations. AKRF demonstrated the most extensive relevant work experience and the best plan of approach in their technical proposal and oral presentation. AKRF has also performed well on previous environmental documents for the SAS project. The other firm was not recommended for negotiations because it did not demonstrate as much relevant experience and its proposed team's availability was a concern.

After being selected and approved for negotiations, the cost proposal from AKRF was opened and evaluated. The initial cost proposal was \$2,483,745. The in-house estimate is \$2,732,397. Several negotiations were held with AKRF that focused on direct labor rates, overhead, and fixed-fee. A Best and Final Offer ("BAFO") was requested and received as follows: \$2,342,188. Based on the competitive nature of the RFP and the cost analysis performed, AKRF's BAFO was determined to be fair and reasonable.

Background investigations and materials submitted by this firm disclosed no Significant Adverse Information ("SAI") within the meaning of the All-Agency Responsibility Guidelines.

M/W/DBE INFORMATION:

The Department of Diversity and Civil Rights ("DDCR") has established DBE goals of 17% for this contract. DDCR has approved AKRF's DBE Utilization Plan that forecasts participation of 31.5% DBE. AKRF has not completed any MTA contracts with goals; therefore, no assessment of the firm's M/W/DBE performance can be determined at this time.

IMPACT ON FUNDING:

This contract will be funded with 100% federal funds. Award of this contract is subject to receipt of an approved WAR certificate.

ALTERNATIVES:

None. Currently, MTACC lacks available in-house technical personnel to perform the specific tasks required under the scope of work for this contract.


CAPITAL PROGRAM REPORTING:

This contract has been reviewed for compliance with the requirements of the 1986 legislation applicable to Capital Contract Awards and the necessary inputs have been secured from the responsible functional departments.

RECOMMENDATION:

That the Board approval the award of a competitively solicited Environmental Consultant contract to AKRF for the preparation of the SER and to provide environmental support services for Phase 2 of the SAS project in the not-to-exceed amount of \$2,342,188. The contract term is ninety (90) months.

Staff Summary

Item Number 2			
Department, Department Head Name: VP Materiel, Stephen M. Plochochi			
			
Internal Approvals			
Order	Approval	Date	Approval
1	Materiel	6	EVP, MTACC
2 X	Law	7	President, MTACC
3 X	Budget		
4 X	DDCR		
5 X	Subways		

SUMMARY INFORMATION	
Vendor Name	Contract No.
Phase 2 Partnership, a Joint Venture of WSP/Parsons Brinckerhoff; STV Incorporated	CM-1190
Description	
Design Consultant for Phase 2 of the Second Avenue Subway	
Total Amount	
\$120,453,095 Base, \$60.2-\$91.6M Options	
Contract Term (including Options, if any)	
90-Month Base, 43-Month Options	
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Renewal? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Procurement Type	
<input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Noncompetitive	
Solicitation Type	
<input checked="" type="checkbox"/> RFP <input type="checkbox"/> Bid <input type="checkbox"/> Other:	
Funding Source	
<input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	

PURPOSE:

To obtain approval of the Board to award a competitively solicited Design Consultant contract to Phase 2 Partnership ("P2P"), a Joint Venture of WSP/Parsons Brinckerhoff ("WSP/PB") and STV Incorporated ("STV") for Engineering Design Services for Phase 2 of the Second Avenue Subway ("SAS") Project. The contract includes design and construction phase support ("CPS") services for the tunnels and stations structural shells, and four options for the design and CPS services for construction of the ancillary structures and fitting-out the ancillary structures, stations and tunnels with the finishes, equipment, and systems. The not-to-exceed amount for the base contract is \$120,453,095 with a duration of 90 months. The not-to-exceed amount for the options ranges from \$60.2-\$91.6 million and if exercised, will be sought under separate Board approval and will increase the contract duration by 43 months to 133 months.

DISCUSSION:

Phase 2 of the SAS Project will extend subway service from the 96th Street and Second Avenue Station to three new stations located at 106th and 116th streets along Second Avenue, and 125th Street and Lexington Avenue. The completion of Phase 2 will achieve two major objectives: (1) address passenger congestion on the Lexington Avenue line, and (2) create an intermodal connection with Metro-North Railroad at 125th Street and Park Avenue.

P2P will provide the following services in the base contract: (1) update the current Preliminary Engineering ("PE") Design for the SAS Phase 2 alignment and stations to reflect changes in the operational requirements and design criteria that have occurred since the PE Design was completed in 2004, (2) support the Supplemental Environmental Review process and the Federal Transit Administration ("FTA") grant applications, both of which will be performed by an environmental consultant under a separate contract, (3) recommend contract packaging structure and documents for the construction of the underground tunnels, structural shell for three new stations, and for fitting-out the tunnels and stations with architectural finishes; mechanical, electrical and plumbing ("MEP") equipment, and traction power, tracks, signals and communication systems, (4) prepare construction contract documents for a design/bid/build utility relocation and site preparation contract, and provide related CPS services, and (5) prepare construction contract documents for one or more design/build contract(s) for tunnel construction, civil work and structural shell construction of the three stations, and provide related CPS services. The base contract work, with the exception of the CPS, will be completed within 24 months of Notice to Proceed.

The contract also includes four options which, if exercised by the MTA, will become part of the Scope of Work. Once the optimum packaging plan is established and the options are exercised, P2P will prepare contract documents for (1) as many as three design/build or design/bid/build contracts (one for each station) for the construction of the ancillary structures and fit-out of the stations and ancillary structures with architectural finishes and mechanical, electrical, plumbing, and conveyance systems, and (2) one design/build or design/bid/build contract for the installation of track, traction power, signal, and communication systems in the stations and tunnels and commissioning of the systems. Each option includes CPS for the included construction contracts.

Selection was determined via a one-step qualifications based procurement process established by the federal Brooks Act. Under the federal Brooks Act, contracts for architecture and engineering, and other federally defined services are negotiated with the firm that is determined to be the most technically preferred by the Selection Committee ("SC") based on established evaluation criteria. The proposals were also evaluated by a Technical Committee ("TC"). An Executive Committee was convened in an advisory capacity. Price is not a consideration in the selection or ranking of the firms. Since only one award is planned under this Request for Proposal ("RFP"), negotiations were conducted with the most technically preferred firm.

A one-step solicitation was advertised in various publications, and direct notices were sent to potential providers. Three firms submitted proposals: Ove Arup & Partners P.C. ("Arup"); a Joint Venture of HNTB New York Engineering and Architecture, P.C. and Parsons Transportation Group of New York, Inc. ("HNTB/Parsons"); and P2P. The SC reviewed the written technical proposals in accordance with the established evaluation criteria, which included: plan of approach, experience in relevant areas, experience of prime and sub-consultant key personnel, current workload of key personnel; past performance on similar projects, management, and quality assurance, and conducted oral presentations with all three proposers. Input was also provided to the SC by the TC based on their independent review of the technical proposal submissions. P2P was unanimously determined by the SC to be the most technically preferred firm and was recommended for negotiations. P2P demonstrated the most extensive relevant work experience and the best plan of approach in their technical proposal and oral presentation. As part of their design approach, P2P will engage locally based architects in order to reflect the input of the community. The other two firms, while fully capable of performing the work, were not recommended for negotiations because their technical proposals provided approaches which were deemed uncertain, and lacked adequate discussion and potential solutions to address the project challenges.

After being selected and approved for negotiations, the cost proposal from P2P was opened and evaluated. The initial cost proposal was \$98.0 million for the base and a range of \$38.3–\$68.0 million for the options. The initial in-house estimate was \$109.5 million for the base and a range of \$122.9–\$167.5 million for the options. Several negotiations were held with P2P, which focused on direct labor rates, overhead, and fixed-fee. Overhead was also reviewed by MTA Audit. During scope review and negotiation, MTA questioned P2P's breakdown and identified the services expected from the consultant on the management support and the geotechnical and environmental programs. Whereupon P2P recognized that it had underestimated the resources required to provide such services and increased the cost proposal accordingly. The in-house estimate was also adjusted and the final estimate is \$123.2 million for the base and a range of \$63.0–\$98.5 million for the options. A Best and Final Offer ("BAFO") was requested and received as follows: \$120.5 million for the base and a range of \$60.2–\$91.6M for the options. Based on the competitive nature of the RFP and the cost analysis performed, P2P's BAFO was determined to be fair and reasonable.

Background investigations and materials submitted by STV disclosed no significant adverse information ("SAI") within the meaning of the All-Agency Responsibility Guidelines. In connection with a previous contract awarded to WSP/PB, WSP/PB was found to be responsible notwithstanding SAI pursuant to the All-Agency Responsibility Guidelines and such responsibility finding was approved by the MTA Chairman in consultation with the MTA General Counsel. No new SAI has been found relating to WSP/PB, and they have been found to be responsible.

M/W/DBE INFORMATION:

The Department of Diversity and Civil Rights ("DDCR") has established DBE goals of 17% for this contract. P2P has submitted a DBE Utilization Plan that forecasts 19.3% participation at the outset of the contract with plans to achieve 25% DBE participation for the overall term of the contract. Award will not be made until the Plan is approved by DDCR. WSP/PB and STV have achieved their M/W/DBE goals on previous MTA contracts. In addition to its DBE outreach, P2P has committed to establish, at its own cost, a mentoring program for DBE architectural and engineering firms. They will also establish a Student Internship Program to engage college and high school students in the SAS Project.

IMPACT ON FUNDING:

This contract will be funded with 100% federal funds. Award of this contract is subject to receipt of an approved WAR certificate.

ALTERNATIVES:

None. Currently, MTA Capital Construction lacks available in-house technical personnel to perform the specific tasks required under the scope of work for this contract.

CAPITAL PROGRAM REPORTING:

This contract has been reviewed for compliance with the requirements of the 1986 legislation applicable to Capital Contract Awards and the necessary inputs have been secured from the responsible functional departments.

RECOMMENDATION:

That the Board approve the award of a competitively solicited Design Consultant contract to P2P for Engineering Design Services for Phase 2 of the SAS Project.

NOVEMBER 2016

LIST OF RATIFICATIONS FOR BOARD APPROVAL

Procurements Requiring Majority Vote:

K. Ratification of Completed Procurement Actions (Involving Schedule E-J)
(Staff Summaries required for items requiring Board approval.)

1. **Henningson, Durham & Richardson** **\$3,069,673** **Staff Summary Attached**
Architecture and Engineering, P.C.
Contract# 1333.14
Modification to the contract for design and construction support services for the rehabilitation of nine stations and line structure on the Sea Beach Line, in order to perform additional construction support services.
2. **Kiska Construction, Inc.** **\$1,979,445** **Staff Summary Attached**
Contract# A-46010/11/12/13/14/15/16.13
Modification to the contract for renewal of seven stations and component repair of Kings Highway and Avenue N Stations on the Culver Line, in order to address additional repair canopy column steel.
3. **TAP Electrical Contracting** **\$1,250,000** **Staff Summary Attached**
Services, Inc.
Contract# P-36441.7
Modification to the contract for the Sandy Recovery Project–Rehabilitation of the Cranberry Tube, in order to address the hardening of the pumping systems at both ends of the Cranberry Tube.

Schedule K: Ratification of Completed Procurement Actions



Item Number: 1

Vendor Name (Location) Henningson, Durham & Richardson Architecture and Engineering, P.C. (New York, New York)	
Description: Design and Construction Phase Support for Rehabilitation of Nine Stations on the Sea Beach Line	
Contract Term (including Options, if any) June 20, 2007–July 13, 2019	
Option(s) included in Total Amount? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a	
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Noncompetitive	
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification	
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:	
Requesting Dept./Div., Dept./Div. Head Name: Capital Program Management, John O’Grady	

Contract Number	AWO/Mod. #:
CM-1333	14
Original Amount:	\$ 9,754,283
Option Amount:	\$ 3,144,833
Total Amount:	\$ 12,899,116
Prior Modifications:	\$ 8,588,703
Prior Budgetary Increases:	\$ 0
Current Amount:	\$ 21,487,819
This Request:	\$ 3,069,673
% of This Request to Current Amount:	14.3%
% of Modifications (including This Request) to Total Amount:	90.4%

Discussion:

This retroactive modification is for additional construction support services (“CSS”) performed by Henningson, Durham & Richardson Architecture and Engineering, P.C. (“HDR”) for the rehabilitation of nine stations and line structure on the Sea Beach Line, borough of Brooklyn.

HDR was awarded competitively solicited Consultant Contract CM-1333 in June 2007 for design services and optional CSS for the rehabilitation of nine stations on the Sea Beach Line (8th Avenue, Fort Hamilton Parkway, New Utrecht Avenue, 18th Avenue, 20th Avenue, Bay Parkway, Kings Highway, Avenue U, and 86th Street), and the structural repair of the retaining walls and associated infrastructure from north of the 8th Avenue Station to south of the 86th Street Station. The CSS Option was exercised in March 2015, and will continue through July 2019.

HDR began design work in 2007. The design was suspended in 2009 due to lack of funding in the MTA Capital Plan for construction. At this time, approximately 90% of the design work was completed. Funds were secured in 2012 and design was restarted with a projected construction award in December 2014. Subsequent to restart of the design, and in an effort to reduce construction costs, the project was split into two construction contracts, comprised of six and three stations, and changed from a full station rehabilitation approach to a component renewal approach that included the addition of Americans with Disabilities Act (“ADA”) upgrades at two stations. The two construction contracts were awarded as projected.

As a result of the split from one to two contracts, the change in approach from full rehabilitation to renewal, and the addition of the two ADA elevators, increased services were required at the time the CSS Option was exercised. The additional CSS includes (1) more unforeseen site conditions and design revisions/changes, (2) additional site visits, meetings, and conference calls, (3) the review of approximately 1,500 additional submittals, and (4) increased project management. Due to the critical phasing of the work and the need for continued CSS during construction, HDR was directed to proceed with the additional work. A retroactive memo was approved by the Senior Vice President, Capital Program Management for the performance of the additional CSS.

HDR submitted its proposal for the additional CSS in the amount of \$4,860,552. The revised in-house estimate was \$2,946,319. After detailed analyses of various HDR proposal submissions, several scope clarification meetings and negotiations HDR submitted a Best and Final Offer (“BAFO”) in the amount of \$3,069,673. The BAFO is considered fair and reasonable, and reflects a less than 1% annual increase in the contract’s hourly rates with no changes to the overhead rates.

Schedule K: Ratification of Completed Procurement Actions

Item Number: 2

Vendor Name (Location) Kiska Construction, Inc. (Long Island City, New York)
Description: Renewal of Seven Stations and Component Repair – Kings Highway and Avenue N Stations on the Culver Line
Contract Term (including Options, if any) September 30, 2014–January 30, 2018
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> n/a
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Noncompetitive
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input type="checkbox"/> Federal <input type="checkbox"/> Other:
Requesting Dept./Div., Dept./Div. Head Name: Capital Program Management, John O’Grady

Contract Number A-46010/11/12/13/14/15/16	AWO/Mod. #: 13
Original Amount:	\$ 80,770,000
Prior Modifications:	\$ 1,765,849
Prior Budgetary Increases:	\$ 0
Current Amount:	\$ 82,535,849
This Request:	\$ 1,979,445
% of This Request to Current Amount:	2.4%
% of Modifications (including This Request) to Original Amount:	4.6%

Discussion:

This retroactive modification is for additional repair of canopy column steel at seven of the nine stations. The seven stations are: Avenue X, Avenue U, Avenue P, Bay Parkway, Avenue I, Ditmas Avenue, and Avenue N.

The base contract calls for the renewal of seven stations (Avenue X, Avenue U, Avenue P, Bay Parkway, Avenue I, 18th Avenue, and Ditmas Avenue) and the component repair of two stations (Kings Highway and Avenue N) on the Culver Line in Brooklyn. Renewal work includes (1) replacement of staircases, control area walls and floors, (2) replacement of precast platform slab panels, (3) installation of windscreens and artwork, and (4) structural steel work and enhancement of lighting and power. Component work includes; (1) structural steel work and (2) enhancement of lighting and power. Finally, the contract calls for painting and lead abatement work at all stations.

The contract provides a line item for the repair of canopy column steel at all nine stations. Since the extent of the canopy column steel corrosion could not be determined prior to construction, the line item consists of a competitively bid unit price of \$11/pound for steel repair and an estimated quantity 330,050 lbs. of steel repair at all nine stations for an estimated total of \$3,630,550. The seven stations covered by this modification account for 322,050 lbs. and \$3,542,550 of the line item.

During construction at the seven stations covered by this modification, as concrete was removed from canopy column bases and the canopy columns were accessible for full inspection, NYC Transit determined that the extent of steel deterioration was significantly greater than expected and that the plate method repair called for in the contract was not suitable due to the extent of steel corrosion on the canopy columns. Accordingly, NYC Transit approved a more suitable repair method, which called for the contractor, Kiska Construction, Inc. (“Kiska”), to cut out and remove the extensively corroded section of a column and replace it with a new column section. This requires the additional cost of a temporary support system to keep the canopy structure safe and stable while column sections are being replaced. However, it results in a better repair for canopy columns that are corroded to this extent.

Kiska’s proposal was for a revised total of \$7,096,968 or an increase of \$3,554,418. NYC Transit’s final estimate was for a revised total \$5,373,366 or an increase of \$1,830,816. Negotiations resulted in agreement on a revised total of \$5,521,995 or an increase of \$1,979,445 which is considered fair and reasonable. Savings of \$1,574,973 were achieved. For the seven stations covered by this modification, the unit price and estimated quantity are revised to \$22.50/lb. and 245,422 lbs. Although the extent of the steel corrosion is significantly greater than expected and the revised repair method is more costly on a unit price basis, the revised repair method requires less steel, as reflected in the reduced number of pounds of steel required to effect the repairs.

On December 2, 2015, the Senior Vice President, Capital Program Management approved a retroactive waiver in order to mitigate delay; on December 14, 2015, the contractor was directed to proceed. On July 22, 2016, the Vice President, Materiel authorized partial payments to the contractor prior to approval of the modification; \$810,005 has been paid for work completed through August 31, 2016.

The remaining two stations (Kings Highway and 18th Avenue) account for the remaining 8,000 lbs. of canopy column steel repair at \$11/lb. for an estimated total of \$88,000 within contract line item for canopy column steel repair. Work is not sufficiently advanced at these stations to determine the extent to which this portion of the item may change. Accordingly, the item remains unchanged at this time for work at the remaining two stations.

An analysis will be performed to determine whether or not an error or omission in design occurred in connection with the work required for this modification.

Schedule K: Ratification of Completed Procurement Actions

Item Number: 3

Vendor Name (Location) TAP Electrical Contracting Services, Inc.(Holbrook, New York)		Contract Number P-36441	AWO/Mod. # 7
Description Sandy Recovery Project–Rehabilitation of the Cranberry Tube in the Boroughs of Brooklyn and Manhattan		Original Amount:	\$ 45,555,000
Contract Term (including Options, if any) December 22, 2014–March 22, 2017		Prior Modifications:	\$ 645,275
Option(s) included in Total Amount? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> n/a		Prior Budgetary Increases:	\$ 0
Procurement Type <input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Noncompetitive		Current Amount:	\$ 46,200,275
Solicitation Type <input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification		This Request:	\$ 1,250,000
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:		% of This Request to Current Amount:	2.7%
Requesting Dept./Div., Dept./Div. Head Name: Capital Program Management, John O’Grady		% of Modifications (including This Request) to Original Amount:	4.7%

Discussion:

This retroactive modification is for hardening the pump systems at both ends of the Cranberry Tube (“the Tube”) that were severely damaged by Superstorm Sandy after being flooded with approximately 1.5 million gallons of salt water.

The contract, awarded to TAP Electrical Contracting Services, Inc. (“TAP”), is funded by a Federal Transit Administration (“FTA”) Sandy Recovery grant and calls for the replacement of equipment, systems, and structures in-kind. The scope of work includes (1) the reconstruction of a circuit breaker house, an electrical substation, and two fan plants, (2) the rehabilitation of signals, (3) minor repair of ducts, (4) leak mitigation, (5) replacement and relocation of multiple electrical and communication systems, (6) installation of new flood mitigation barriers, check valves, and emergency flood discharge lines, and (7) reconstruction of two pump systems in pump rooms at the Tube’s midpoint.

In addition to the pump rooms located at the Tube’s midpoint, there are pump rooms at the ends of the Tube: one in Manhattan’s Front Street shaft and one in Brooklyn’s Furman Street shaft. Each shaft supplies fresh air to the Tube. A fan plant is located at the top of each shaft. A pump room is located at the bottom of each shaft, at track level. The pumps in these rooms intercept water flooding into the Tube to lessen the strain on the mid-river pumps.

The pump systems at the ends of the Tube were in working condition and did not require rehabilitation under the FTA Sandy Recovery grant. However, a separate subsequent FTA Sandy Resiliency grant funded the design for the hardening of those pump systems. This retroactive modification enabled this resiliency work to be performed during previously scheduled diversions of service. If performed under a future contract, it would have had a greater impact on customers. On July 20, 2016, FTA Sandy Resiliency funding was provided for this modification.

This modification provides for furnishing and installing new electrical and control equipment in the fan plant location, cabling and wiring in the shafts; and furnishing and installing minor flood control items, including new check valves in the pressure relief manholes of both pump rooms. This results in relocating the electrical and control equipment to a higher elevation in the fan plants.

TAP submitted a proposal for \$1,512,626. NYC Transit’s estimate was \$1,716,000. Negotiations resulted in a lump-sum price of \$1,250,000, which is considered fair and reasonable. Savings of \$262,626 were achieved.

On August 1, 2016, the Senior Vice President, Capital Program Management approved a retroactive waiver in order to mitigate delay, and the contractor was directed to proceed with the purchase of long lead electrical equipment.

NOVEMBER 2016**LIST OF RATIFICATIONS FOR BOARD APPROVAL****Procurements Requiring Majority Vote:****K. Ratification of Completed Procurement Actions (Involving Schedule E-J)**
(Staff Summaries required for items requiring Board approval.)**Skanska/Traylor, JV**

- | | |
|-------------------------|-------------|
| 1. Contract# C-26008.40 | \$1,295,000 |
| 2. Contract# C-26008.81 | \$1,460,000 |

Staff Summary Attached

Modification to the contracts for station cavern mining and heavy civil/structural work for the Second Avenue Subway, 86th Street Station, in order to address (1) additional work related to excess excavation of a pump room and additional concrete tunnel lining in the west tunnel, and (2) project impact costs.

Schedule K: Ratification of Completed Procurement Actions

Item Number: 1-2

Vendor Name (Location) Skanska/Traylor, JV (New York, New York)	
Description Second Avenue Subway – 86th Street Station Cavern Mining, and Heavy Civil Structural – Manhattan "B" Division	
Contract Term (including Options, if any) August 4, 2011–December 16, 2014	
Option(s) included in Total Amount? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a	
Procurement Type	<input checked="" type="checkbox"/> Competitive <input type="checkbox"/> Noncompetitive
Solicitation Type	<input type="checkbox"/> RFP <input type="checkbox"/> Bid <input checked="" type="checkbox"/> Other: Modification
Funding Source <input type="checkbox"/> Operating <input checked="" type="checkbox"/> Capital <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Other:	
Requesting Dept./Div., Dept./Div. Head Name: MTA Capital Construction, Dr. Michael Horodniceanu	

Contract Number	AWO/Mod. #:
C-26008	40 and 81
Original Amount:	\$ 294,360,000
Option Amount:	\$ 7,500,000
Total Amount:	\$ 301,860,000
Prior Modifications:	\$ 21,607,313
Prior Budgetary Increases:	\$ 0
Current Amount:	\$ 323,467,313
This Request:	
Mod. 40: \$1,295,000	
Mod. 81: \$1,460,000	
	\$ 2,755,000
% of This Request to Current Amount:	0.5%
% of Modifications (including This Request) to Total Amount:	7.7%

Discussion:

These retroactive modifications will address (1) additional work related to excess excavation of a pump room and additional concrete tunnel lining in the west tunnel, and (2) project impact costs.

The base contract provides for the mining of the 86th Street Station cavern, including mine shafts, adits for entrances, elevator shafts, electrical shafts, ancillaries, tunnel cross passages, and underpinning of existing structures.

Modification 40

This modification addresses the additional work to fill the overbreak (excess excavation) in Pump Room No. 16 and additional concrete tunnel lining in three locations in the west tunnel, which were removed from the prior contract.

The excavation and construction of Pump Room No. 16 between 78th and 79th streets was part of Contract C-26002 ("C-26002"), awarded to S3 Tunnel Constructors for tunnel boring. Due to scheduling issues, the work to construct the concrete shell (floor, walls and ceiling) of the pump room was removed from C-26002 and added to this base Contract C-26008 ("C-26008") as part of Option 1. The contract documents for C-26008 show the assumed dimensions of the rock excavation at Pump Room No. 16, with a note indicating that the as-built drawings (actual dimensions of the rock excavation) would be provided post award. The as-built drawings, provided after contract award, indicated that there was approximately 520 additional cubic yards of overbreak that needed to be filled with reinforced concrete. The pricing for the placement of this additional concrete was not part of the original contract and is being added through this modification.

Additionally, three other sections of tunnel lining were required that were also not part of the contract. Prior to award of C-26002, the location of the tunnel cross passage (passageway that connects the east and west tunnels) could not be determined. The location was subsequently identified post award. However, the location complicated the installation of the tunnel lining, thereby impacting the schedule of C-26002. As a result, Program Management decided to remove the lining in the tunnel cross-passage area from C-26002 and add this work to C-26008. The work added to C-26008 consists of providing cast-in-place lining of three sections of tunnel: (1) the 17.5-foot section south of the tunnel cross passage, (2) the 24.5-foot section north of the tunnel cross passage, and (3) the 7-foot section of tunnel north of the pump room. In order to mitigate delay, approval to process this modification on a retroactive basis was obtained from the MTACC President, and Skanska/Traylor, Joint Venture ("STJV") was directed to proceed with the work.

STJV submitted its cost proposal in the amount of \$1,399,148. MTACC's in-house estimate was \$1,195,367. Negotiations resulted in the agreed-upon lump-sum price of \$1,295,000, which is considered to be fair and reasonable. Savings of \$104,149 were achieved. There are no impact costs associated with this modification.

Modification 81

This modification addresses impact costs associated with previously excusable and impactable time extensions. The initial Contractual Substantial Completion date for this contract was September 4, 2014, extended to September 12, 2014 under Mod. 82 (six excusable, non-impactable workdays).

During the performance of this work, STJV encountered difficulties in the construction of Entrance 2 due to interference caused by work being performed on a residential building located on East 86th Street, adjacent to the worksite. In March 2012, the building owner installed a sidewalk shed in order to perform building façade repairs required by the Department of Buildings. The location of the shed directly conflicted with the construction of Entrance 2. Initially, the building owner informed MTACC that the shed would be removed by September 2012 which would not have conflicted with the excavation at Entrance 2, scheduled for November 2012. However, the scope of the building repairs expanded, based on the façade inspection, extending the need for the shed by two years. As a result, there were delays in the construction of the support of excavation wall and the excavation for Entrance 2 due to lack of access and inefficiencies caused by the sidewalk shed. This added difficulty was addressed in Mod. 55, which was approved by the Board in December 2013. Additionally, inefficiencies in the construction of the escalator incline and elevator shaft resulted in an excusable delay of 131 workdays. That delay was mitigated by Acceleration Mod. 68, approved by the Board in May 2014, reducing the delay by 80 workdays. At that time, there was also an additional schedule extension of 12 excusable and non-impactable working days related to demobilization and associated street restoration. As a result, the Substantial Completion date was extended by a total of 63 excusable workdays, from September 12, 2014 to December 16, 2014, of which 51 workdays were impactable. This modification addresses the associated impact costs.

STJV's revised cost proposal was \$2,272,962, the MTACC estimate was \$1,724,500. Following review by MTA Audit, negotiations resulted in the agreed-upon price of \$1,460,000, an impact cost of \$28,627 per day, which is considered to be fair and reasonable. Savings of \$812,962 were achieved.

A background check performed by the Materiel Department, and in connection with a previous contract awarded to STJV, STJV was found to be responsible notwithstanding significant adverse information ("SAI") pursuant to the All-Agency Responsibility Guidelines and such responsibility finding was approved by the MTA Chairman/CEO in consultation with the MTA General Counsel. No new SAI has been found relating to STJV and STJV has been found to be responsible.

**SERVICE CHANGES: NYC TRANSIT COMMITTEE NOTIFICATION:
B DIVISION SUBWAY SCHEDULE CHANGES
EFFECTIVE SPRING 2017**

Service Issue

To ensure that subway schedules accurately match current rider demand, schedules are regularly reviewed, evaluated and revised in order to provide passengers with the most efficient and effective service possible. NYC Transit routinely changes service to reflect changes in demand in compliance with MTA Board-adopted subway loading guidelines.

In addition, to accommodate reconstruction of the **M** line's Myrtle Viaduct and the New York & Atlantic Railway Bridge, vital construction projects that are needed for long-term reliability of the **M** line, subway schedule changes are needed to address temporary long-term changes in **JZ**, **L**, and **M** service.

Recommendation

Implement routine schedule adjustments for the **L**.

In addition, due to the Myrtle Viaduct and New York & Atlantic Railway Bridge reconstruction projects, implement schedule adjustments to reflect the needed temporary long-term subway service changes that are proposed on the **JZ**, **L**, and **M**.

Budget Impact

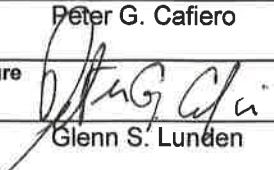
Implementation of the proposed routine **L** schedule changes will cost approximately \$1.7 million annually, which is consistent with the 2017 Operating Budget.

The reimbursable operating costs of the service changes to accommodate the Myrtle Viaduct reconstruction project are projected to be \$3.2 million.

Proposed Implementation Date








L schedule changes will be implemented in June 2017, and the Myrtle Viaduct-related **JZ** and **M** changes will occur in early July 2017.

Staff Summary

Subject	B Division Subway Schedule Changes Effective Spring 2017
Department	Operations Planning
Department Head Name	Peter G. Cafiero
Department Head Signature	
Project Manager Name	Glenn S. Lunden

Date	November 4, 2016
Vendor Name	N/A
Contract Number	N/A
Contract Manager Name	N/A
Table of Contents Ref #	N/A

Board Action					
Order	To	Date	Approval	Info	Other
1	President		X		
2	Board			X	

Internal Approvals			
Order	Approval	Order	Approval
8	President 	X 4	VP General Counsel
7	Executive VP 	3	Director OMB 
6	SVP Subways 	2	VP GC 
5	VP Corp. Comm 	1	Chief OP 

Purpose

To obtain Presidential approval, and to inform the NYC Transit and MTA Bus Committee, of schedule adjustments on the **L** route in response to changes in subway ridership and of temporary long-term schedule and route adjustments on the **JZ**, **L**, and **M** that are being proposed to accommodate reconstruction of the Myrtle Viaduct and New York & Atlantic Railway Bridge. This work is required for the future viability of the **M** line in Brooklyn and in Ridgewood and Middle Village in Queens.

Discussion

The schedule adjustments on the **L** route is a product of NYC Transit's continuing effort to review and revise subway schedules, when feasible, to ensure that they accurately meet customer demand and are in compliance with MTA Board-adopted loading guidelines.

The schedule changes outlined below will be implemented with the Spring 2017 Pick. These changes represent service adjustments during weekday mornings, afternoon rush periods, weekday evenings, and weekends to more closely align **L** service with customer demand and established guidelines for subway operation. The additional **L** trips are proposed in response to weekday, Saturday, and Sunday ridership growth along 14th Street in Manhattan and along the Canarsie line in Brooklyn. Basic information about these proposed adjustments is outlined below, and additional details are shown in Attachment 1.

- Weekday **L** service will be increased a total of 11 round trips between approximately 9:00 a.m. and 7:30 p.m.
- Saturday **L** service will be increased a total of 12 round trips between approximately 7:00 a.m. and 3:00 p.m.
- Sunday **L** service will be increased a total of 27 round trips between approximately 7:00 a.m. and 8:00 p.m.

Note that some routes in the subway system operate with average loads that exceed guideline levels at certain times. However, due to car and track capacity constraints during peak hours and due to the need to perform ongoing maintenance and capital construction work during off-peak hours, service cannot be increased to bring passenger loads to within guideline levels at all times.

In addition, due to the Myrtle Viaduct and the New York & Atlantic Railway Bridge reconstruction projects, temporary long-term changes in **JZ**, **L**, and **M** subway service are proposed as follows:

- Weekday **M** service:
 - Weekday main line **M** service will operate between Forest Hills-71 Av and Broadway Junction due to infrastructure and operational constraints on the Broadway-Jamaica line. Select rush hour **M** trips will operate between Forest Hills-71 Av and 2 Av in Manhattan.
 - **M** Shuttle service between Middle Village-Metropolitan Av and Myrtle-Wyckoff Aves at all times. This service will be implemented upon completion of the reconstruction of the New York & Atlantic Railway Bridge.
- Weekday **L** service will be added to accommodate riders who are projected to shift from the **M**.
- The stopping pattern of the weekday **JZ** will be changed to accommodate **M** riders affected by the **M** service change. **J** and **Z** will make all stops between Broadway Junction and Marcy Av.

Alternative bus service will be provided to subway stations no longer serviced by the **M**.

Recommendation

Implement routine **L** schedule adjustments and temporary long-term schedule and route adjustments on the **JZ**, **L**, and **M**.

Alternatives to the Split Proposal

Do nothing. NYCT would not make normal **L** service adjustments to better meet customer demand nor make temporary long-term schedule and route adjustments on the **JZ**, **L**, and **M**. Without changes to **M** service, vital reconstruction work of the Myrtle Viaduct and New York & Atlantic Railway Bridge cannot occur.

Budget Impact

Implementation of the proposed routine **L** schedule changes will cost approximately \$1.7 million annually, which is consistent with the 2017 Operating Budget. The reimbursable operating costs of the service changes to accommodate the Myrtle Viaduct reconstruction project are projected to be \$3.2 million.

Staff Summary

Proposed Implementation Date

● schedule changes will be implemented in June 2017, and the Myrtle Viaduct-related ●● and ● changes will occur in early July 2017.

Approved:



Veronique Hakim
President

Attachment 1--Spring 2017 B Division Schedule Changes

Route	Direction	Day	Time	Current				Proposed				
				2016 Scheduled Number of Trips	Average Headway (Minutes)	Average Riders/Car (1)	Percent of Guideline	Proposed Additional Trips	2017 Proposed Trip Count	Average Headway (Minutes)	Average Riders/Car	Percent of Guideline
1	NB	Weekday (2)	09:00 - 12:00	39	4.7	96	107%	8	47	3.9	81	88%
1	SB	Weekday (2)	18:00 - 24:00	74	4.9	82	105% (3)	6	80	4.3	75	98% (3)
1	NB	Saturday	10:00 - 15:00	92	5.3	58	107%	12	104	4.7	52	97%
1	NB	Sunday	07:00 - 15:00	74	7.5	61	113%	14	88	6.2	51	94%
1	SB	Sunday	15:00 - 20:00	60	5.0	62	115%	13	73	4.1	51	95%

Notes:

1. Ridership data based on field surveys at peak load point.
2. Weekday 1 summary includes 3 additional trips needed during the Myrtle Viaduct reconstruction project.
3. Excludes time period after 23:00 when possibility for additional service is limited due to overnight maintenance requirements.

Report



SPECIAL REPORTS AND PRESENTATIONS: MetroCard Report

MetroCard Market Share

Actual September 2016 fare media market share of non-student passenger trips compared to the previous year are summarized below:

<u>Fare Media</u>	<u>September 2015</u>	<u>September 2016*</u>	<u>Difference</u>
Cash	2.4%	2.2%	(0.3%)
Single-Ride Ticket	0.8%	0.8%	(0.0%)
Bonus Pay-Per-Ride	40.0%	39.8%	(0.2%)
Non-Bonus Pay-Per-Ride	5.4%	5.1%	(0.4%)
7-Day Farecard	22.4%	22.5%	0.1%
30-Day Farecard	<u>28.9%</u>	<u>29.7%</u>	0.8%
Total	100.0%	100.0%	

* Preliminary

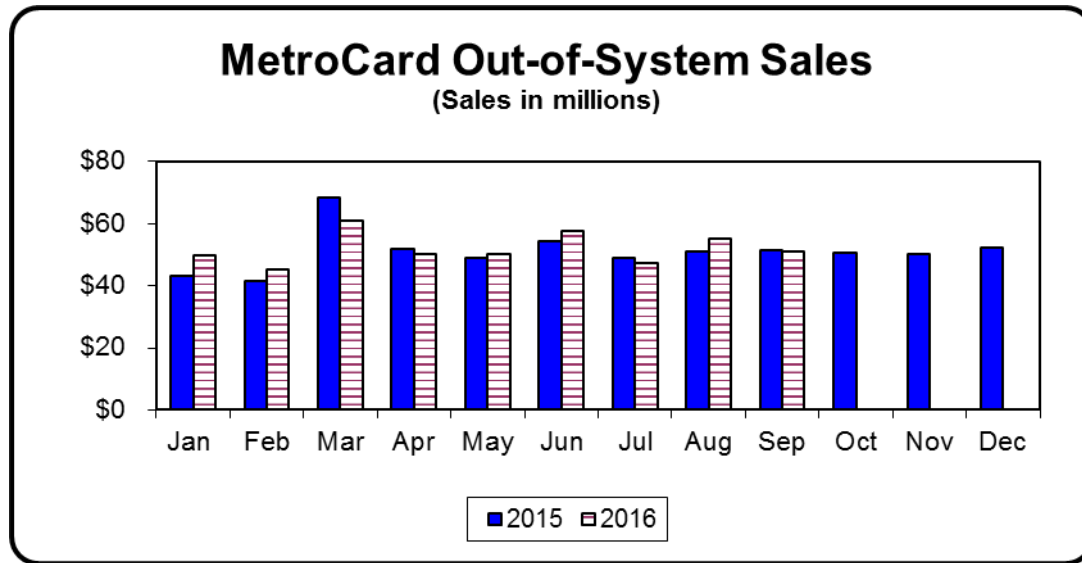
Note: Percentages may not add due to rounding.

Balance-Protection Program

MetroCard customers who purchase a 30-day Unlimited MetroCard or a 7-day Unlimited Express Bus Plus MetroCard using a debit or credit card at either a MetroCard Vending Machine or MetroCard Express Machine are protected from the loss or theft of their farecard. This program provides customers with a refund, on a pro-rated basis, for the unused value on their farecard. The number of validated balance-protection claims in September 2016 was 4,338, a 4.58 percent decrease from the same period last year. The average value of a credit issued was \$71.42.

MetroCard Extended Sales

Out-of-system sales (retail, employer-based programs and joint ticket programs, plus other extended sales outlets) were \$51.1 million in September 2016, a 0.4 percent decrease compared to September of 2015. Year to dates sales totaled \$468.4 million, a 2.0 percent increase compared to the same period last year.



Retail Sales

There were 4,355 active out-of-system sales and distribution locations for MetroCards, generating \$25.3 million in sales revenue during September 2016.

Employer-based Sales of Pre-tax Transportation Benefits

Sales of 135,345 MetroCards valued at approximately \$12.3 million were made in September 2016 to private, employer-based providers of pre-tax transportation benefits through agreements with MetroCard Extended Sales. The average value of MetroCards sold was \$90.65. In addition, the number of employees enrolled in the annual pre-tax MetroCard programs was 103,762 for September 2016, generating an additional \$12.1 million in sales. Year-to-date sales of all pre-tax MetroCard products totaled \$228.0 million, a 4.0 percent increase when compared to last year.

Mobile Sales Program

In September 2016, the Mobile Sales unit completed 198 site visits, of which 137 were advertised locations. Fifty-four (54) of these visits were co-sponsored by an elected official or community organization. A total of \$111,000 in revenue was generated. In September 2016, the Mobile Sales unit assisted and enabled 1,803 new applicants to become Reduced-Fare customers. Mobile Sales also continued outreach efforts in Westchester County and locally at the Postgraduate Center for Mental Health (Queens, NY).

Reduced-Fare Program

During September 2016 enrollment in the Reduced-Fare Program increased by 7,290 new customers. The total number of customers in the program is 1,043,071. Seniors account for 860,131 or 83 percent of the total reduced-fare customer base. Persons with disabilities comprise the remaining 17 percent or 182,940 customers. Of those, a total of 38,857 customers were enrolled in the program under the criterion of persons diagnosed with serious mental illness who receive Supplemental Security Income (SSI) benefits. Active Reduced-fare customers added approximately \$8.3 million in value to their farecards during the month.

EasyPay Reduced Fare Program

In September 2016, the EasyPay Reduced Fare program enrollment totaled 162,532 accounts. During the month, active EasyPay customers accounted for approximately 2.2 million subway and bus rides with \$2.3 million charged to their accounts. Each active account averaged 28 trips per month, with an average monthly bill of \$14.

EasyPay Xpress Pay-Per-Ride Program

In September 2016, the EasyPay Xpress PPR program enrollment totaled 94,938 accounts. During this month, active Xpress PPR customers accounted for approximately 1.6 million subway, express bus and local bus rides with \$4.3 million charged to their accounts. Each active account averaged 22 trips per month, with an average monthly bill of \$59.

EasyPay Xpress Unlimited Program

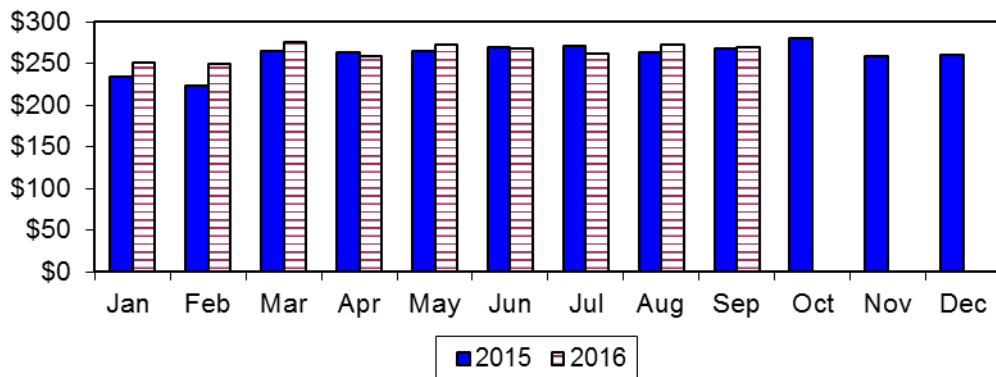
In September 2016, the EasyPay Xpress Unlimited program enrollment totaled 20,231 accounts. During this month, active Xpress Unlimited customers accounted for approximately 913,000 subway and local bus rides with \$1.8 million charged to their accounts. Each active account averaged 48 trips per month with a fixed monthly bill of \$116.50.

In-System Automated Sales

Vending machine sales (MetroCard Vending Machines & MetroCard Express Machines) during September 2016 totaled \$270.0 million, on a base of 15.0 million customer transactions. This represents 2.3 percent decrease in vending machine transactions compared to the same period last year. During September 2016, MEMs accounted for 2,160,910 transactions resulting in \$56,733,943 in sales. Debit/credit card purchases accounted for 78.7 percent of total vending machine revenue, while cash purchases accounted for 21.3 percent. Debit/credit card transactions account for 55.4 percent of total vending machine transactions, while cash transactions account for 44.6 percent. The average credit sale was \$28.97, more than three times the average cash sale of \$8.58. The average debit sale was \$20.67.

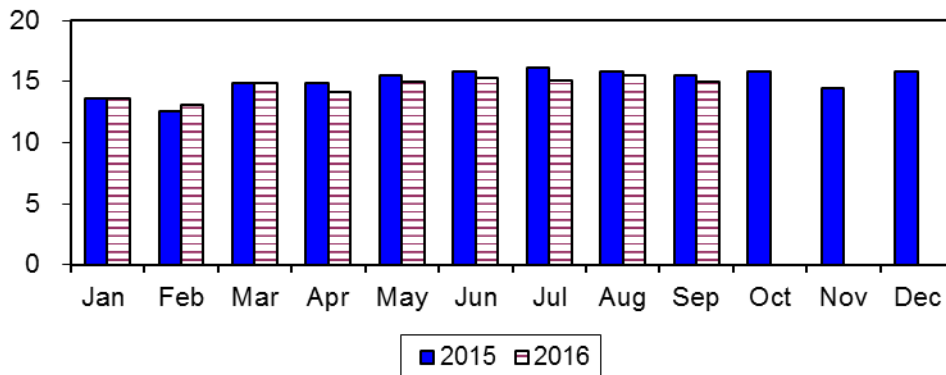
Vending Machine Sales

(Sales in millions)



Vending Machine Transactions

(Transactions in millions)

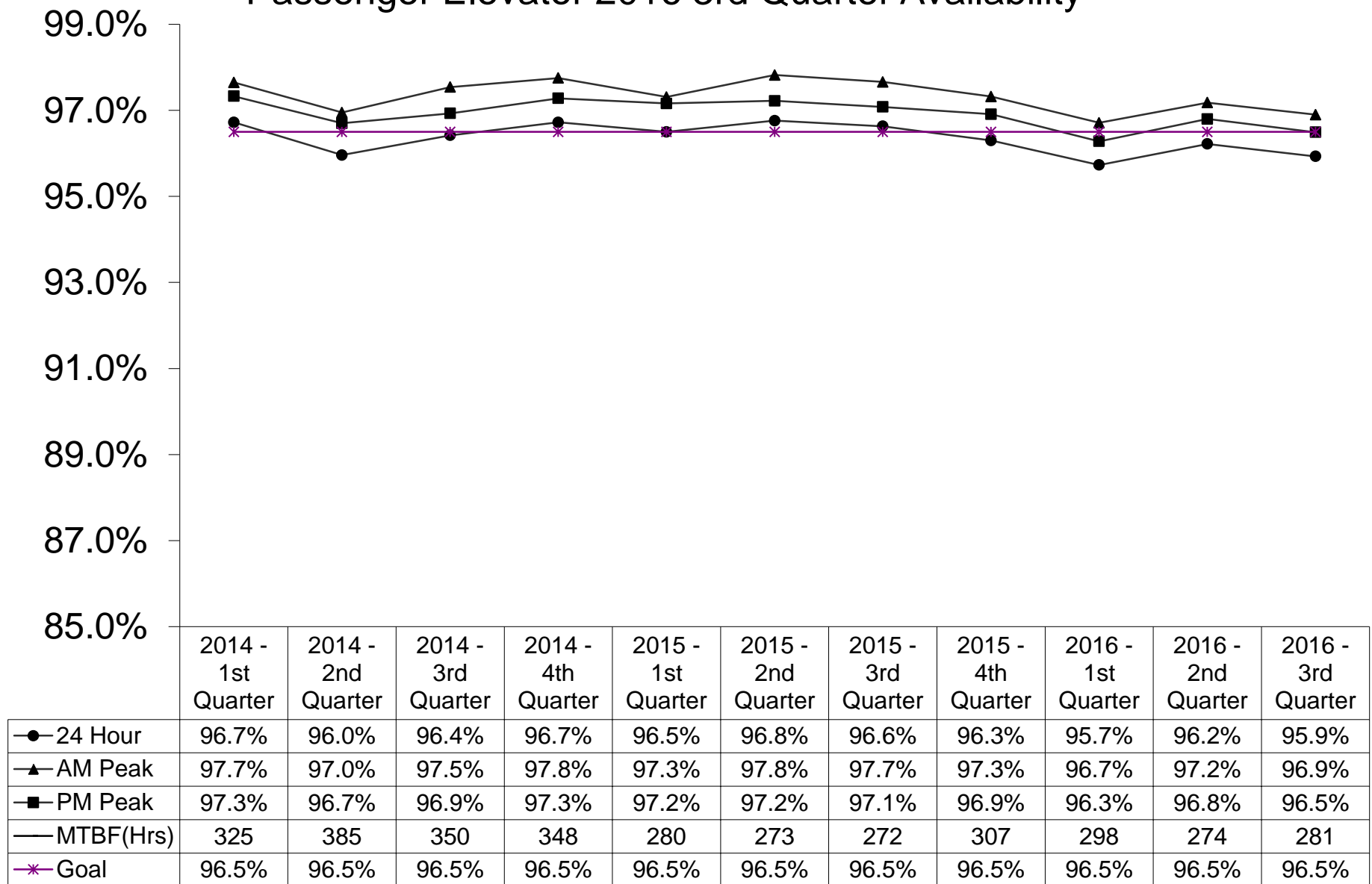


ELEVATOR AND ESCALATOR QUARTERLY REPORT

MTA / New York City Transit

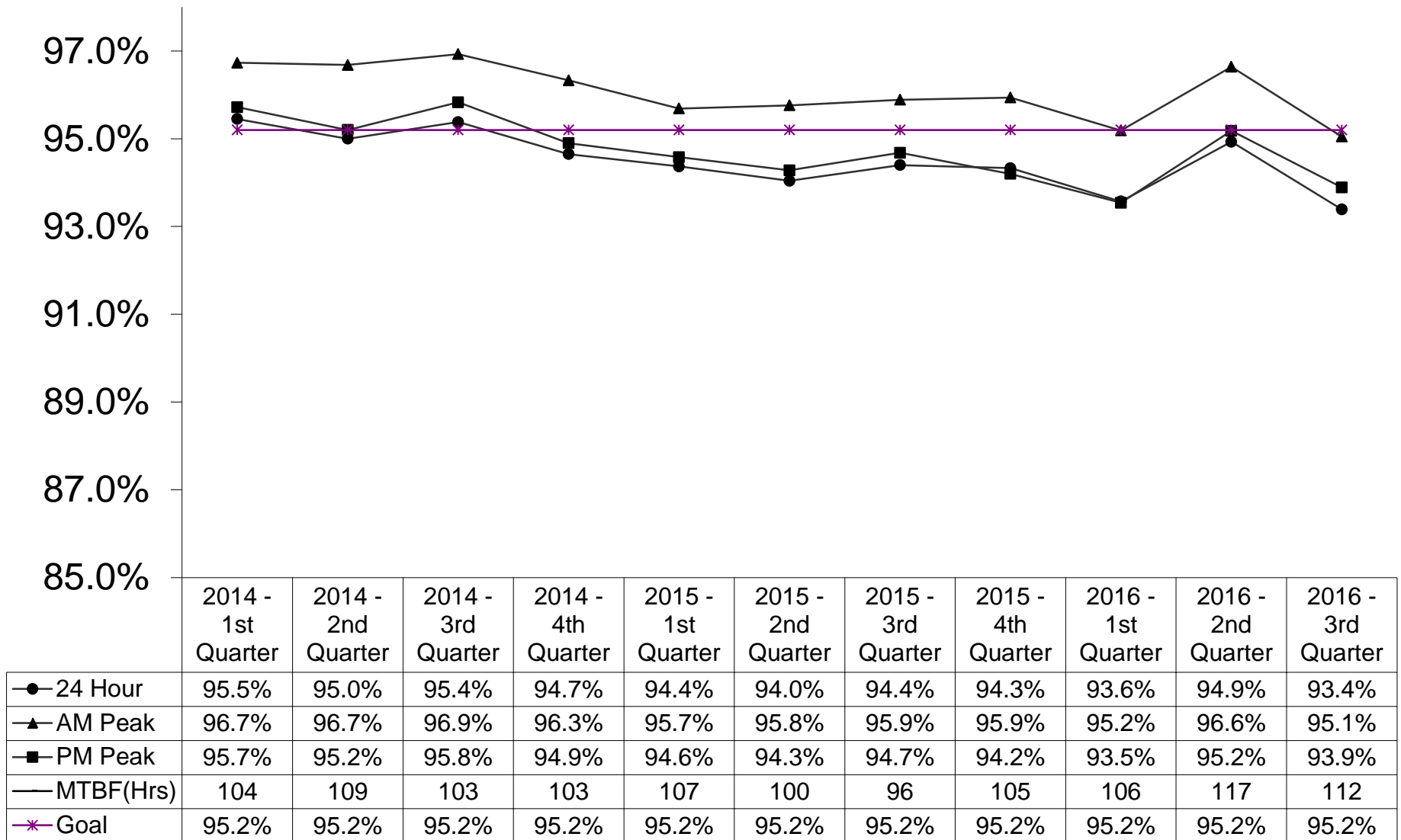
Third Quarter - 2016

Passenger Elevator 2016 3rd Quarter Availability



Definitions : Availability measures the percent of time that a unit is running and available for customer service. All service outages, regardless of cause, count as downtime in the availability calculation. (Note: Units out of service for capital rehabilitation are excluded from the calculations)

Escalator 2016 3rd Quarter Availability



Definitions: Availability measures the percent of time that a unit is running and available for customer service. All service outages, regardless of cause, count as downtime in the availability calculation. (Note: Units out of service for capital rehabilitation are excluded from the calculations)

Elevator and Escalator Quarterly Performance Summary Third Quarter - 2016

Elevator Performance

Borough	No. Units	Avg Age	2016 3rd Quarter Availability			Outages			Entrapments
			24 Hr	AM Peak	PM Peak	Total	Non Scheduled	Scheduled	
Bronx	32	7.5	96.5%	97.6%	96.4%	399	284	115	20
Brooklyn	54	10.7	96.8%	97.9%	97.4%	611	410	201	18
Manhattan	109	12.4	94.8%	95.8%	95.5%	1777	1207	570	63
Queens	27	10.2	97.8%	98.4%	98.6%	340	222	118	14
System	222	10.2	95.9%	96.9%	96.5%	3127	2123	1004	115

Escalator Performance

Borough	No. Units	Avg Age	2016 3rd Quarter Availability			Outages			Entrapments
			24 Hr	AM Peak	PM Peak	Total	Non Scheduled	Scheduled	
Bronx	12	17.4	83.6%	85.7%	84.2%	340	268	72	0
Brooklyn	33	15.4	91.6%	93.8%	91.6%	1158	841	317	0
Manhattan	105	13.6	94.3%	95.7%	94.9%	4078	2249	1829	0
Queens	34	15.4	95.9%	97.6%	96.5%	830	607	223	0
System	184	15.5	93.4%	95.1%	93.9%	6406	3965	2441	0

Definitions: Availability measures the percent of time that a unit is running and available for customer service. All service outages, regardless of cause, count as downtime in the availability calculation. (Note: Units out of service for capital rehabilitation are excluded from the calculations)

AM Peak: 6 AM - 10 AM

PM Peak: 3 PM - 7 PM

Elevator and Escalator
Quarterly Performance By Borough
Third Quarter - 2016

	Borough:		Bronx								
		Age		2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrap ments
	Unit ID	(Yrs)		Station	24 Hr	AM	PM	24 Hr	Total	Non Scheduled	
					Peak	Peak					
1	EL128	0	Simpson St 2 5	81.69%	82.35%	80.55%	96.57%	39	34	5	4
2	EL182	9	Gun Hill Rd 2 5	84.01%	94.46%	74.82%	98.79%	59	53	6	2
3	EL129	19	3rd Ave-149 St 2 5	86.75%	86.24%	88.30%	95.34%	16	13	3	1
4	EL131	14	161 St-Yankee Stadium 4 B D	91.00%	94.55%	87.23%	97.24%	39	34	5	0
5	EL127	0	Simpson St 2 5	93.84%	94.12%	93.70%	91.57%	13	11	2	1
6	EL193	9	233rd St 2 5	95.55%	95.78%	96.48%	98.65%	14	10	4	1
7	EL183	9	Gun Hill Rd 2 5	95.63%	96.61%	93.64%	96.06%	16	14	2	1
8	EL135	14	161 St-Yankee Stadium B D	96.36%	97.41%	96.48%	96.50%	14	10	4	0
9	EL138	8	Pelham Pkwy 2 5	96.64%	97.70%	97.71%	93.22%	11	9	2	4
10	EL121	0	Pelham Bay Park 6	96.81%	95.38%	98.46%		16	12	4	0
11	EL184	9	231st St 1	96.93%	99.77%	96.74%	97.44%	16	12	4	1
12	EL130	19	3rd Ave-149 St 2 5	97.18%	97.94%	97.24%	99.00%	12	7	5	2
13	EL136	8	Pelham Pkwy 2 5	97.38%	99.24%	97.21%	95.39%	19	11	8	0
14	EL194	9	233rd St 2 5	97.92%	98.89%	98.04%	99.41%	6	3	3	1
15	EL189	1	Kingsbridge Rd B D	98.28%	98.32%	97.93%	99.06%	9	8	1	1
16	EL195	1	Hunts Point Av 6	98.32%	100.00%	95.85%	97.95%	9	6	3	1
17	EL133	14	161 St-Yankee Stadium 4	98.42%	98.05%	99.16%	98.95%	7	4	3	0
18	EL197	1	Hunts Point Av 6	98.50%	98.43%	98.05%	99.81%	8	4	4	0
19	EL134	14	161 St-Yankee Stadium B D	98.56%	98.91%	100.00%	99.68%	9	4	5	0
20	EL192	9	233rd St 2 5	98.72%	100.00%	99.37%	98.42%	11	7	4	0
21	EL122	0	Pelham Bay Park 6	98.87%	100.00%	100.00%		6		6	0
22	EL137	8	Pelham Pkwy 2 5	98.90%	100.00%	99.73%	98.49%	6	1	5	0
23	EL185	9	231st St 1	98.91%	99.89%	99.46%	98.20%	6	3	3	0
24	EL159	4	180th Street 2 5	99.01%	100.00%	98.71%	99.15%	5	3	2	0
25	EL196	1	Hunts Point Av 6	99.08%	100.00%	98.91%	98.53%	5	2	3	0
26	EL188	10	Fordham Rd 4	99.10%	99.93%	100.00%	98.22%	5		5	0
27	EL187	10	Fordham Rd 4	99.21%	99.86%	100.00%	97.94%	4	1	3	0
28	EL160	4	180th Street 2 5	99.23%	99.54%	100.00%	97.28%	4	2	2	0
29	EL191	1	Kingsbridge Rd B D	99.31%	99.99%	100.00%	99.40%	4	3	1	0
30	EL132	14	161 St-Yankee Stadium 4	99.40%	100.00%	100.00%	97.36%	6	1	5	0
31	EL190	1	Kingsbridge Rd B D	99.50%	100.00%	100.00%	99.28%	3	2	1	0
32	EL186	10	Fordham Rd 4	99.55%	100.00%	100.00%	96.03%	2		2	0
	32	7.5	Elevator Subtotal:	96.5%	97.6%	96.4%	97.7%	399	284	115	20
1	ES105	10	Gun Hill Rd 2 5	45.38%	47.36%	44.44%	95.33%	43	40	3	0
2	ES120	27	Pelham Bay Park 6	47.39%	50.05%	45.59%	82.30%	17	15	2	0
3	ES108	24	Intervale Av 2 5	66.54%	67.58%	68.50%	89.39%	15	6	9	0
4	ES122	20	Pelham Pkwy 2 5	86.02%	86.18%	87.73%	96.41%	37	31	6	0
5	ES111	15	Parkchester 6	87.81%	89.27%	86.41%	98.35%	42	38	4	0
6	ES106	11	West Farms Sq-E Tremont Av 2 5	89.57%	97.19%	94.36%	81.39%	65	58	7	0
7	ES104	10	Gun Hill Rd 2 5	94.85%	96.66%	93.51%	93.65%	39	29	10	0
8	ES113	14	161 St-Yankee Stadium 4	95.21%	98.55%	94.91%	95.78%	27	21	6	0
9	ES123	19	Pelham Pkwy 2 5	96.47%	97.83%	98.43%	97.90%	15	5	10	0
10	ES114	17	161 St-Yankee Stadium 4	97.33%	99.30%	98.72%	83.61%	20	11	9	0
11	ES121	27	Pelham Bay Park 6	97.91%	99.99%	98.66%	96.86%	12	9	3	0
12	ES112	15	Norwood-205 St D	98.58%	98.98%	98.73%	93.85%	8	5	3	0
	12	17.4	Escalator Subtotal:	83.6%	85.7%	84.2%	97.0%	340	268	72	0
	*Note the number of entrapments are included in the non scheduled outages count.										

Elevator and Escalator

Quarterly Performance By Borough

Third Quarter - 2016

Borough: Manhattan											
	Unit ID	Age (Yrs)	Station	2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrapments
				24 Hr	AM	PM		24 Hr	Total	Non Scheduled	
					Peak	Peak					
1	EL108	16	181 St 1	21.25%	21.66%	21.59%	96.87%	10	9	1	1
2	EL335	11	West 4 St A B C D E F M	70.81%	72.41%	71.89%	97.19%	15	10	5	0
3	EL281	7	57 St-7 Av N Q R	73.65%	78.09%	72.04%	97.78%	52	48	4	4
4	EL314	23	Brooklyn Bridge 4 5 6	79.83%	83.83%	81.10%	98.63%	7	3	4	0
5	EL119	31	181 St A	80.88%	80.60%	81.49%	83.95%	17	14	3	0
6	EL120	31	190 St A	85.80%	88.38%	86.04%	65.35%	17	11	6	3
7	EL111	19	168 St 1	86.14%	86.14%	87.56%	93.81%	32	25	7	0
8	EL336	7	Chambers St 1 2 3	87.42%	89.66%	86.52%	98.36%	30	25	5	1
9	EL107	16	181 St 1	87.82%	88.86%	89.34%	95.25%	57	52	5	2
10	EL224	14	8 Av L	88.40%	90.40%	90.38%	93.28%	22	18	4	5
11	EL109	16	181 St 1	89.67%	90.61%	91.87%	86.62%	82	75	7	2
12	EL114	19	168 St 1	90.01%	90.30%	87.63%	95.16%	59	54	5	1
13	EL204	26	Grand Central-42 St 4 5 6 7 S	90.08%	91.77%	88.64%	97.75%	28	23	5	2
14	EL144	10	125 St A B C D	90.36%	91.74%	89.47%	99.06%	15	12	3	1
15	EL244	14	Grand Central-42 St 7	90.78%	92.45%	94.50%	96.44%	57	7	50	0
16	EL143	10	125 St A B C D	91.14%	90.88%	93.07%	92.29%	22	18	4	0
17	EL124	26	175 St A	91.14%	92.00%	91.50%	97.61%	18	14	4	1
18	EL145	5	96th St 231	91.26%	91.99%	91.95%	96.89%	29	26	3	0
19	EL202	15	51 St 6	91.38%	93.46%	90.01%	97.87%	23	18	5	2
20	EL721	2	Fulton St A C J Z 2 3 4 5	91.90%	92.57%	93.90%	96.16%	44	40	4	1
21	EL113	18	168 St 1	92.54%	89.31%	93.44%	96.08%	34	26	8	2
22	EL330	4	Bleecker St D F B M 6	92.85%	95.06%	94.63%	97.90%	17	12	5	0
23	EL230	13	Times Sq-42 St N Q R	93.77%	96.74%	92.68%	95.95%	16	11	5	0
24	EL225	14	34 St-Penn Station C E	93.80%	96.31%	95.81%	96.65%	15	9	6	4
25	EL206	26	Grand Central-42 St 4 5 6	93.95%	94.72%	94.84%	98.65%	8	3	5	0
26	EL234	7	47-50 Sts-Rockefeller Center B D F M	93.97%	95.63%	94.83%	95.75%	22	16	6	0
27	EL105	13	191 St 1	94.07%	95.52%	95.67%	96.20%	34	27	7	0
28	EL402	26	Lexington Av-63 St F	94.40%	97.00%	90.75%	87.88%	36	24	12	0
29	EL245	11	Lexington Av-53 St E M	94.42%	94.67%	98.87%	92.01%	27	22	5	3
30	EL210	22	34 St-Herald Sq B D F M	94.67%	96.40%	96.73%	92.01%	12	5	7	0
31	EL328	4	Bleecker St D F B M 6	94.85%	94.55%	95.51%	98.92%	11	10	1	0
32	EL232	10	Times Sq-42 St 1 2 3 7	94.85%	96.40%	96.30%	95.65%	21	13	8	0
33	EL338	7	Chambers St 1 2 3	94.88%	97.33%	94.83%	98.43%	13	7	6	0
34	EL106	13	191 St 1	95.27%	95.45%	97.83%	96.20%	15	7	8	2
35	EL217	16	14 St-Union Sq L N Q R	95.61%	97.21%	95.67%	98.79%	22	16	6	0
36	EL112	19	168 St 1	95.62%	95.51%	97.37%	95.28%	37	28	9	0
37	EL723	2	Fulton St 2 3	95.85%	100.00%	96.11%	98.64%	25	20	5	0
38	EL178	2	Dyckman St 1	95.91%	96.47%	95.22%	98.99%	9	8	1	3
39	EL115	15	190 St A	96.16%	96.45%	98.42%	76.27%	18	12	6	0
40	EL146	5	96th St 231	96.21%	97.64%	96.88%	97.89%	22	19	3	1
41	EL117	13	181 St A	96.36%	97.19%	93.04%	81.42%	18	14	4	1
42	EL110	16	181 St 1	96.37%	98.51%	97.96%	95.52%	31	25	6	1

Elevator and Escalator

Quarterly Performance By Borough

Third Quarter - 2016

Borough: Manhattan											
	Unit ID	Age (Yrs)	Station	2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrapments
				24 Hr	AM	PM		24 Hr	Total	Non Scheduled	
					Peak	Peak					
43	EL233	10	Times Sq-42 St 1 2 3	96.41%	98.32%	97.09%	98.67%	11	8	3	0
44	EL118	11	181 St A	96.53%	96.58%	97.66%	89.44%	16	12	4	0
45	EL223	14	14 St A C E	96.60%	98.27%	95.05%	97.99%	17	11	6	0
46	EL601	1	34 St-Hudson Yards 7	96.63%	97.37%	97.80%	93.06%	26	17	9	0
47	EL229	13	Times Sq-42 St N Q R	96.66%	96.74%	97.83%	98.59%	5	1	4	1
48	EL104	12	191 St 1	96.75%	98.05%	97.15%	75.93%	15	10	5	1
49	EL142	10	125 St A B C D	96.76%	97.55%	95.75%	96.32%	18	13	5	0
50	EL235	7	47-50 Sts-Rockefeller Center B D F M	96.81%	96.37%	97.71%	96.99%	10	6	4	0
51	EL403	26	Roosevelt Island F	96.88%	98.39%	98.28%	94.62%	17	7	10	0
52	EL278	6	59th St-Columbus Circle A B C D 1	96.91%	97.06%	97.74%	94.56%	13	9	4	4
53	EL332	4	Bleecker St D F B M 6	96.97%	98.27%	98.38%	99.41%	15	8	7	0
54	EL316	23	Brooklyn Bridge 4 5 6	97.14%	100.00%	97.77%	94.82%	7	4	3	0
55	EL716	1	Fulton St A C J Z 2 3 4 5	97.33%	98.14%	97.96%	98.10%	22	19	3	0
56	EL277	6	59th St-Columbus Circle A B C D 1	97.48%	98.41%	98.42%	92.90%	16	11	5	2
57	EL103	12	191 St 1	97.50%	98.96%	98.02%	89.07%	13	8	5	0
58	EL732	9	Fulton St 2 3	97.52%	95.86%	99.23%	97.82%	19	17	2	0
59	EL722	2	Fulton St J Z	97.56%	99.71%	97.97%	99.35%	15	10	5	0
60	EL201	15	51 St 6	97.63%	99.82%	97.08%	88.05%	15	8	7	2
61	EL123	26	175 St A	97.75%	98.32%	98.64%	95.17%	7	4	3	0
62	EL325	15	Canal St 6	97.76%	97.89%	98.47%	98.89%	7	5	2	0
63	EL280	6	59th St-Columbus Circle A B C D 1	97.84%	98.17%	99.29%	97.45%	17	11	6	0
64	EL602	1	34 St-Hudson Yards 7	97.88%	98.23%	97.34%	99.44%	19	13	6	0
65	EL222	14	14 St A C E	97.92%	98.76%	99.74%	97.16%	9	4	5	0
66	EL139	9	168 St 1 A C	97.95%	97.58%	99.60%	92.20%	11	8	3	1
67	EL218	16	14 St-Union Sq L	97.95%	100.00%	98.91%	98.56%	8	3	5	0
68	EL140	9	168 St A C	98.03%	98.91%	97.94%	92.16%	4	2	2	0
69	EL240	12	72 St 1 2 3	98.05%	98.14%	99.56%	98.67%	8	3	5	0
70	EL148	16	Inwood-207 St A	98.08%	98.06%	99.66%	93.55%	11	4	7	0
71	EL209	22	34 St-Herald Sq B D F M	98.08%	100.00%	99.32%	98.93%	13	6	7	0
72	EL220	16	14 St-Union Sq N Q R	98.17%	99.50%	98.18%	96.72%	8	5	3	1
73	EL710	9	Bowling Green 4 5	98.19%	99.34%	97.56%	96.89%	29	23	6	0
74	EL116	11	190 St A	98.22%	98.97%	99.38%	97.23%	9	4	5	1
75	EL324	15	Canal St 6	98.36%	100.00%	99.46%	98.80%	10	2	8	0
76	EL213	0	34 St-Herald Sq B D F M N Q R	98.38%	98.39%	98.76%		12	11	1	3
77	EL331	4	Bleecker St D F B M 6	98.38%	100.00%	98.73%	96.77%	8	4	4	0
78	EL315	23	Brooklyn Bridge 4 5 6	98.43%	100.00%	97.44%	98.49%	4	2	2	0
79	EL226	14	34 St-Penn Station C E	98.51%	98.40%	98.96%	97.68%	5	3	2	0
80	EL211	22	34 St-Herald Sq N Q R	98.51%	98.72%	100.00%	98.70%	5	2	3	1
81	EL181	8	135 St 2 3	98.53%	99.50%	100.00%	96.73%	9	2	7	0
82	EL205	26	Grand Central-42 St 4 5 6	98.55%	99.11%	98.91%	97.59%	7	3	4	0
83	EL239	12	72 St 1 2 3	98.59%	98.72%	99.37%	98.16%	7	2	5	0
84	EL238	16	66 St-Lincoln Center 1	98.62%	98.02%	100.00%	98.32%	7	3	4	0
85	EL401	1	Lexington Av-63 St F	98.65%	100.00%	99.55%	98.71%	12	6	6	0
86	EL333	11	West 4 St A B C D E F M	98.68%	99.24%	99.06%	98.08%	8	5	3	0
87	EL711	9	Bowling Green 4 5	98.69%	99.73%	100.00%	98.63%	9	2	7	0
88	EL212	22	34 St-Herald Sq N Q R	98.70%	99.79%	98.98%	98.54%	9	5	4	1
89	EL149	16	Inwood-207 St A	98.72%	100.00%	99.36%	92.27%	11	5	6	0

Elevator and Escalator
Quarterly Performance By Borough
Third Quarter - 2016

	Borough:		Manhattan								
		Age		2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrap ments
	Unit ID	(Yrs)	Station	24 Hr	AM	PM	24 Hr	Total	Non Scheduled	Scheduled	
					Peak	Peak					
90	EL404	26	Roosevelt Island F	98.75%	100.00%	100.00%	97.94%	9	1	8	0
91	EL219	16	14 St-Union Sq NQR	98.76%	99.10%	100.00%	98.46%	8	4	4	1
92	EL237	16	66 St-Lincoln Center 1	98.77%	100.00%	100.00%	98.79%	7	2	5	0
93	EL180	8	135 St 23	98.78%	100.00%	99.68%	94.22%	6	2	4	0
94	EL720	2	Fulton St ACJZ2345	98.83%	99.82%	100.00%	98.77%	6	2	4	0
95	EL221	14	14 St/8 Av ACE L	98.85%	99.73%	99.79%	97.41%	8	2	6	1
96	EL334	11	West 4 St AB CDE F M	98.90%	100.00%	99.86%	97.81%	6	2	4	0
97	EL228	14	34 St-Penn Station CE	98.94%	99.86%	99.42%	98.41%	9	4	5	0
98	EL214	12	34 St-Penn Station 1	98.98%	99.72%	100.00%	93.38%	5	1	4	0
99	EL216	13	34 St-Penn Station 1	98.98%	100.00%	100.00%	98.04%	5		5	0
100	EL227	14	34 St-Penn Station A	99.05%	100.00%	100.00%	99.11%	5	1	4	0
101	EL279	6	59th St-Columbus Circle AB C D 1	99.10%	99.45%	99.76%	96.24%	7	3	4	0
102	EL215	16	34 St-Penn Station 23	99.16%	100.00%	100.00%	96.63%	7	3	4	0
103	EL600	1	34 St-Hudson Yards 7	99.21%	97.80%	100.00%	98.92%	7	1	6	0
104	EL329	4	Bleecker St DF B M 6	99.25%	100.00%	100.00%	98.66%	3		3	0
105	EL236	7	47-50 Sts-Rockefeller Center B D F M	99.27%	99.18%	99.74%	99.27%	4	1	3	0
106	EL337	7	Chambers St 123	99.28%	100.00%	99.75%	98.63%	4	1	3	0
107	EL603	1	34 St-Hudson Yards 7	99.33%	99.93%	100.00%	97.06%	7		7	0
108	EL719	2	Fulton St ACJZ2345	99.35%	100.00%	98.73%	97.28%	7	6	1	0
109	EL141	9	168 St AC	99.40%	100.00%	98.88%	98.41%	5	4	1	0
	109	12.4	Elevator Subtotal:	94.8%	95.8%	95.5%	95.5%	1777	1207	570	63

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Borough: Manhattan											
	Unit ID	Age (Yrs)	Station	2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrapments
				24 Hr	AM	PM		Total	Non Scheduled	Scheduled	
					Peak	Peak					
1	ES401	27	Lexington Av-63 St F	71.08%	72.27%	69.03%	95.77%	17	10	7	0
2	ES622	1	34 St-Hudson Yards 7	74.47%	75.00%	74.48%	98.23%	10	4	6	0
3	ES402	27	Lexington Av-63 St F	76.37%	75.35%	77.26%	95.06%	19	12	7	0
4	ES115	15	145 St B D	81.10%	81.48%	81.78%	96.29%	20	12	8	0
5	ES232	9	34 St-Herald Sq B D F M	82.00%	86.45%	81.23%	88.63%	108	98	10	0
6	ES416	20	Roosevelt Island F	84.16%	85.57%	85.03%	98.58%	16	13	3	0
7	ES326	17	West 4 St A B C D E F M	84.82%	85.95%	83.54%	94.71%	38	34	4	0
8	ES415	7	Roosevelt Island F	87.30%	89.58%	83.79%	94.83%	71	51	20	0
9	ES364	1	Fulton St 4 5	87.72%	89.74%	88.23%	95.36%	27	21	6	0
10	ES209	14	Grand Central-42 St 7	87.80%	90.31%	90.19%	91.90%	58	40	18	0
11	ES101	14	125 St 1	88.57%	93.18%	84.97%	33.73%	52	48	4	0
12	ES243	20	Lexington Av-53 St E M	88.67%	88.88%	90.37%	98.02%	85	70	15	0
13	ES229	9	34 St-Herald Sq B D F M	88.82%	89.40%	88.58%	96.27%	41	36	5	0
14	ES103	20	125 St 1	89.17%	92.39%	89.20%	98.25%	42	35	7	0
15	ES118	19	181 St A	90.31%	92.30%	88.03%	94.41%	19	15	4	0
16	ES351	16	Whitehall St R	90.44%	93.41%	89.02%	93.93%	30	22	8	0
17	ES325	17	West 4 St A B C D E F M	90.98%	95.10%	90.75%	91.43%	43	35	8	0
18	ES625	1	34 St-Hudson Yards 7	91.18%	91.75%	92.39%	97.64%	10	3	7	0
19	ES300	4	Bleecker St D F B M 6	91.35%	94.35%	94.41%	96.04%	49	36	13	0
20	ES218	10	Times Sq-42 St 7	91.65%	93.50%	92.78%	86.39%	54	47	7	0
21	ES238	17	7 Av B D E	92.58%	94.63%	92.58%	97.75%	85	71	14	0
22	ES407	27	Lexington Av-63 St F	92.84%	94.19%	95.54%	98.31%	42	36	6	0
23	ES230	9	34 St-Herald Sq B D F M	92.99%	95.98%	92.91%	93.96%	53	45	8	0
24	ES368	2	Fulton St A C J Z 2 3 4 5	93.12%	91.87%	96.90%	91.14%	40	35	5	0
25	ES237	17	7 Av B D E	93.15%	94.93%	93.61%	98.62%	68	62	6	0
26	ES302	17	Park Pl 2 3	93.24%	94.42%	94.56%	95.54%	18	12	6	0
27	ES621	1	34 St-Hudson Yards 7	93.52%	95.28%	92.70%	99.26%	15	8	7	0
28	ES102	14	125 St 1	93.56%	96.56%	91.43%	87.94%	36	32	4	0
29	ES234	8	34 St-Herald Sq B D F M	93.70%	94.67%	93.18%	98.08%	49	39	10	0
30	ES213	17	59 St 4 5 6	93.73%	93.90%	95.15%	94.63%	58	53	5	0
31	ES623	1	34 St-Hudson Yards 7	93.97%	94.40%	94.01%	98.33%	12	4	8	0
32	ES626	1	34 St-Hudson Yards 7	94.03%	93.40%	96.85%	99.52%	37	31	6	0
33	ES255	27	Grand Central-42 St 4 5 6 7 S	94.10%	96.11%	95.14%	94.48%	148	19	129	0
34	ES311	15	Whitehall St R	94.13%	95.84%	93.06%	95.14%	31	25	6	0
35	ES269	12	Lexington Av-53 St E M	94.26%	96.18%	95.25%	95.39%	41	33	8	0
36	ES208	16	Grand Central-42 St 7	94.40%	97.97%	95.39%	93.70%	170	49	121	0
37	ES245	19	Lexington Av-53 St E M	94.53%	95.59%	94.91%	92.17%	18	11	7	0
38	ES221	9	34 St-Herald Sq B D F M N Q R	94.62%	98.34%	93.39%	91.06%	51	42	9	0
39	ES223	9	34 St-Herald Sq B D F M N Q R	94.80%	97.41%	93.89%	98.93%	34	23	11	0
40	ES301	17	Park Pl 2 3	94.84%	94.14%	96.74%	93.74%	20	12	8	0
41	ES215	19	Lexington Av-59 St N Q R	94.92%	92.10%	95.64%	93.65%	54	50	4	0
42	ES340	11	Bowling Green 4 5	95.03%	96.75%	96.63%	97.74%	26	16	10	0
43	ES342	11	Bowling Green 4 5	95.11%	98.76%	94.23%	95.81%	41	30	11	0
44	ES413	20	Roosevelt Island F	95.18%	95.65%	96.74%	96.59%	13	7	6	0
45	ES328	17	Delancey St F	95.20%	97.83%	94.51%	91.19%	22	17	5	0
46	ES233	8	34 St-Herald Sq B D F M	95.33%	96.38%	96.74%	95.18%	25	18	7	0

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	Borough:		Manhattan								
		Age		2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrap ments
	Unit ID	(Yrs)	Station	24 Hr	AM	PM	24 Hr	Total	Non Scheduled	Scheduled	
					Peak	Peak					
47	ES412	7	Roosevelt Island F	95.46%	96.67%	97.33%	97.82%	32	7	25	0
48	ES210	14	Grand Central-42 St 7	95.48%	97.33%	97.11%	95.04%	39	18	21	0
49	ES256	27	Grand Central-42 St 4 5 6 7 S	95.49%	97.27%	94.65%	96.57%	30	11	19	0
50	ES367	2	Fulton St A C J Z 2 3 4 5	95.49%	97.27%	95.55%	96.78%	32	26	6	0
51	ES244	20	Lexington Av-53 St E M	95.77%	98.58%	94.68%	95.13%	129	22	107	0
52	ES236	8	34 St-Herald Sq B D F M	95.84%	95.79%	97.12%	93.25%	42	35	7	0
53	ES246	19	Lexington Av-53 St E M	95.84%	98.42%	96.28%	91.33%	139	29	110	0
54	ES341	12	Bowling Green 4 5	96.10%	98.43%	96.09%	97.84%	20	11	9	0
55	ES207	16	Grand Central-42 St 7	96.31%	98.19%	98.83%	94.92%	143	23	120	0
56	ES252	27	51 St 6	96.35%	98.27%	96.80%	95.97%	14	7	7	0
57	ES212	17	59 St 4 5 6	96.40%	97.94%	96.76%	97.87%	27	14	13	0
58	ES231	9	34 St-Herald Sq B D F M	96.42%	98.36%	97.67%	96.39%	37	28	9	0
59	ES312	3	Whitehall St R	96.43%	98.69%	99.01%	97.39%	23	18	5	0
60	ES119	19	181 St A	96.50%	98.97%	98.51%	64.42%	18	14	4	0
61	ES249	13	Lexington Av-59 St N Q R	96.50%	99.96%	95.57%	92.20%	32	22	10	0
62	ES235	8	34 St-Herald Sq B D F M	96.52%	98.78%	98.73%	97.17%	22	13	9	0
63	ES343	13	Bowling Green 4 5	96.57%	96.91%	95.45%	98.12%	27	19	8	0
64	ES206	15	Grand Central-42 St 7	96.71%	98.70%	99.55%	98.04%	147	10	137	0
65	ES205	15	Grand Central-42 St 7	96.75%	97.72%	98.74%	97.50%	35	23	12	0
66	ES420	8	Roosevelt Island F	96.77%	93.31%	97.78%	98.61%	23	16	7	0
67	ES222	9	34 St-Herald Sq B D F M N Q R	96.77%	97.81%	96.36%	97.41%	26	20	6	0
68	ES334	2	Bowery J Z	96.82%	97.20%	98.41%	96.47%	19	14	5	0
69	ES204	17	Grand Central-42 St 7	96.82%	99.98%	97.30%	96.84%	136	14	122	0
70	ES417	8	Roosevelt Island F	96.84%	95.88%	98.11%	98.15%	26	22	4	0
71	ES338	12	Bowling Green 4 5	96.87%	98.68%	96.01%	97.51%	35	28	7	0
72	ES214	18	59 St 4 5 6	96.89%	97.78%	98.47%	97.57%	27	12	15	0
73	ES241	18	5 Av-53 St E M	96.95%	97.33%	97.82%	98.02%	21	12	9	0
74	ES345	21	Bowling Green 4 5	97.09%	98.52%	98.97%	98.23%	24	8	16	0
75	ES203	17	Grand Central-42 St 7	97.23%	97.54%	98.15%	97.67%	28	19	9	0
76	ES405	27	Lexington Av-63 St F	97.27%	98.42%	99.64%	93.10%	18	12	6	0
77	ES217	10	Times Sq-42 St 7	97.33%	99.55%	99.83%	87.40%	21	11	10	0
78	ES239	17	5 Av-53 St E M	97.35%	98.62%	97.77%	94.72%	26	17	9	0
79	ES627	1	34 St-Hudson Yards 7	97.41%	98.02%	98.57%	99.57%	13	7	6	0
80	ES211	18	59 St 4 5 6	97.41%	100.00%	97.70%	98.00%	23	16	7	0
81	ES216	10	Times Sq-42 St 7	97.57%	97.52%	99.03%	90.98%	23	17	6	0
82	ES419	8	Roosevelt Island F	97.58%	98.63%	97.40%	98.18%	23	18	5	0
83	ES224	9	34 St-Herald Sq B D F M N Q R	97.61%	98.21%	96.58%	97.80%	29	22	7	0
84	ES406	27	Lexington Av-63 St F	97.72%	99.08%	99.39%	98.66%	17	11	6	0
85	ES327	17	Delancey St F	97.75%	100.00%	99.14%	95.81%	20	15	5	0
86	ES408	27	Lexington Av-63 St F	97.80%	98.00%	98.46%	97.81%	13	8	5	0
87	ES410	27	Lexington Av-63 St F	97.80%	98.00%	98.91%	98.35%	13	7	6	0
88	ES336	13	Bowling Green 4 5	97.80%	99.74%	99.19%	93.93%	17	8	9	0
89	ES117	20	181 St A	97.82%	98.39%	99.36%	76.66%	19	14	5	0
90	ES248	13	Lexington Av-59 St N Q R	97.84%	99.92%	97.02%	97.83%	23	14	9	0
91	ES116	14	145 St B D	97.92%	100.00%	95.26%	96.38%	18	14	4	0
92	ES628	1	34 St-Hudson Yards 7	97.98%	99.47%	98.91%	99.33%	10	5	5	0
93	ES240	17	5 Av-53 St E M	98.02%	99.43%	99.45%	96.50%	123	8	115	0
94	ES403	27	Lexington Av-63 St F	98.08%	98.00%	99.78%	94.76%	9	4	5	0
95	ES414	8	Roosevelt Island F	98.10%	98.80%	99.13%	96.09%	14	11	3	0
96	ES418	8	Roosevelt Island F	98.16%	99.08%	99.22%	98.73%	13	9	4	0
97	ES409	27	Lexington Av-63 St F	98.34%	98.00%	100.00%	96.45%	14	9	5	0
98	ES411	8	Roosevelt Island F	98.36%	99.71%	98.91%	89.98%	13	6	7	0
99	ES329	2	East Broadway F	98.46%	99.24%	99.46%	96.62%	18	12	6	0

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Borough: Manhattan											
	Unit ID	Age (Yrs)	Station	2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrapments
				24 Hr	AM	PM		Total	Non	Scheduled	
					Peak	Peak			Scheduled		
100	ES624	1	34 St-Hudson Yards 7	98.52%	99.07%	98.79%	98.35%	15	7	8	0
101	ES404	27	Lexington Av-63 St F	98.62%	99.08%	99.67%	96.76%	11	7	4	0
102	ES242	18	5 Av-53 St E M	98.64%	99.91%	98.32%	96.52%	120	8	112	0
103	ES339	12	Bowling Green 4 5	98.75%	99.75%	99.69%	97.08%	16	6	10	0
104	ES629	1	34 St-Hudson Yards 7	98.90%	99.56%	99.23%	99.41%	10	6	4	0
105	ES337	13	Bowling Green 4 5	98.93%	100.00%	99.12%	95.56%	7	3	4	0
	105	13.6	Escalator Subtotal:	94.3%	95.7%	94.9%	95.6%	4078	2249	1829	0
*Note the number of entrapments are included in the non scheduled outage count.											

Elevator and Escalator
Quarterly Performance By Borough
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Borough: Brooklyn											
	Unit ID	Age (Yrs)	Station	2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrapments
				24 Hr	AM	PM		Total	Non Scheduled	Scheduled	
					Peak	Peak					
1	EL393	13	Flushing Av J M	83.06%	88.08%	81.92%	97.94%	28	25	3	4
2	EL319	19	Brooklyn College-Flatbush Av 2 5	89.10%	88.58%	88.92%	96.97%	14	13	1	0
3	EL323	11	Crown Hts-Utica Av 3 4	89.75%	90.91%	90.90%	94.46%	19	13	6	1
4	EL302	12	Pacific St-Atlantic Av D N R	92.44%	93.43%	93.89%	97.12%	10	6	4	0
5	EL304	12	Atlantic Av 2 3	93.11%	94.57%	94.27%	97.05%	11	7	4	3
6	EL373	8	Church Av F G	94.06%	93.73%	94.83%	97.60%	9	6	3	0
7	EL339	16	Frankin Av C S	94.34%	94.85%	94.93%	98.28%	19	15	4	0
8	EL309	15	Court St R	94.38%	97.10%	92.97%	96.25%	28	26	2	0
9	EL701	10	Coney Island-Stillwell Av D F N Q	95.11%	95.53%	97.48%	98.04%	24	20	4	0
10	EL311	16	Clark St 2 3	95.18%	97.76%	95.01%	96.73%	22	19	3	1
11	EL312	16	Clark St 2 3	95.21%	97.57%	95.97%	98.30%	10	7	3	0
12	EL320	18	Church Av 2 5	95.43%	98.24%	96.67%	98.08%	18	14	4	0
13	EL396	8	Myrtle-Wyckoff Avs L M	96.03%	96.90%	95.93%	97.55%	20	15	5	2
14	EL307	12	Atlantic Av B Q	96.13%	98.56%	96.42%	85.21%	10	6	4	1
15	EL305	12	Atlantic Av 4 5	96.21%	96.78%	95.89%	98.53%	14	11	3	0
16	EL321	18	Church Av 2 5	96.29%	98.91%	99.38%	96.37%	24	19	5	0
17	EL306	12	Atlantic Av 2 3	96.53%	97.44%	95.52%	97.64%	7	5	2	2
18	EL760	4	Kings Highway B Q	96.69%	97.55%	96.26%	98.40%	20	16	4	0
19	EL394	13	Flushing Av J M	96.75%	97.83%	95.43%	99.37%	15	14	1	0
20	EL317	21	Borough Hall 2 3 4 5	96.86%	97.76%	97.35%	98.73%	7	5	2	0
21	EL395	13	Flushing Av J M	96.96%	97.04%	98.05%	98.83%	8	4	4	0
22	EL346	2	Utica Ave A C	97.10%	98.57%	96.59%	98.34%	19	14	5	0
23	EL318	21	Borough Hall 2 3 4 5	97.12%	97.83%	98.86%	97.88%	6	2	4	0
24	EL301	12	Pacific St-Atlantic Av D N R	97.15%	97.83%	99.96%	97.96%	8	4	4	1
25	EL342	10	Euclid Av A C	97.29%	97.83%	98.02%	98.40%	13	8	5	0
26	EL340	16	Frankin Av C S	97.79%	99.02%	97.44%	95.13%	9	3	6	0
27	EL702	10	Coney Island-Stillwell Av D F N Q	97.99%	98.91%	98.91%	97.90%	9	5	4	0
28	EL706	6	Jay St A C F R	98.01%	100.00%	99.67%	97.96%	14	9	5	0
29	EL344	2	Utica Ave A C	98.02%	97.87%	98.89%	95.47%	14	9	5	0
30	EL383	13	Prospect Park B Q S	98.08%	100.00%	98.32%	98.44%	12	4	8	0
31	EL375	8	Church Av F G	98.24%	98.91%	99.97%	98.99%	7	3	4	0
32	EL345	2	Utica Ave A C	98.31%	98.36%	98.05%	99.12%	9	5	4	1
33	EL708	6	Jay St A C F R	98.32%	99.95%	97.42%	98.63%	21	18	3	1
34	EL343	10	Euclid Av A C	98.39%	98.98%	100.00%	98.61%	9	4	5	0
35	EL310	16	Clark St 2 3	98.43%	99.37%	99.06%	91.54%	10	8	2	0
36	EL398	8	Myrtle-Wyckoff Avs M	98.45%	100.00%	99.35%	98.95%	9	3	6	0
37	EL372	11	DeKalb Av B Q R	98.54%	99.36%	98.90%	97.92%	7	5	2	0
38	EL374	8	Church Av F G	98.57%	99.05%	100.00%	99.55%	7	2	5	0
39	EL308	15	Court St R	98.57%	99.36%	99.46%	97.96%	8	4	4	0
40	EL341	10	Euclid Av A C	98.58%	98.87%	98.70%	96.55%	6	3	3	0
41	EL382	13	Prospect Park B Q S	98.82%	100.00%	100.00%	98.62%	7	1	6	0
42	EL391	11	Marcy Av J M Z	98.85%	99.61%	98.91%	98.31%	5	2	3	0
43	EL371	11	DeKalb Av B Q R	98.89%	99.71%	100.00%	99.06%	5	1	4	1
44	EL322	11	Crown Hts-Utica Av 3 4	98.89%	100.00%	100.00%	97.55%	5		5	0
45	EL303	12	Pacific St-Atlantic Av D N R	98.95%	100.00%	99.54%	94.49%	7	3	4	0
46	EL392	11	Marcy Av J M Z	98.96%	100.00%	99.96%	97.67%	5	2	3	0
47	EL378	4	Bay Parkway D	98.97%	100.00%	99.58%	99.15%	7	4	3	0
48	EL761	4	Kings Highway B Q	99.06%	100.00%	99.79%	99.04%	7	3	4	0

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Borough:		Brooklyn									
	Unit ID	Age (Yrs)	Station	2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrap ments
				24 Hr	AM	PM		24 Hr	Total	Non	
					Peak	Peak				Scheduled	
49	EL376	4	Bay Parkway D	99.07%	100.00%	99.21%	98.08%	6	3	3	0
50	EL709	5	Jay St A C F R	99.24%	99.24%	98.91%	98.38%	5	4	1	0
51	EL397	8	Myrtle-Wyckoff Avs L	99.29%	100.00%	99.80%	97.65%	6	3	3	0
52	EL370	11	DeKalb Av B Q R	99.33%	100.00%	100.00%	97.62%	3		3	0
53	EL377	4	Bay Parkway D	99.64%	100.00%	100.00%	99.28%	3		3	0
54	EL707	6	Jay St A C F R	99.75%	100.00%	100.00%	98.69%	6	5	1	0
	54	10.7	Elevator Subtotal:	96.8%	97.9%	97.4%	97.5%	611	410	201	18

Elevator and Escalator
Quarterly Performance By Borough
Third Quarter - 2016

Borough: Brooklyn											
	Unit ID	Age (Yrs)	Station	2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrapments
				24 Hr	AM Peak	PM Peak	24 Hr	Total	Non Scheduled	Scheduled	
1	ES324	16	High St A C	69.22%	68.69%	68.84%	91.94%	21	17	4	0
2	ES330	19	Broadway Junction A C J L Z	71.55%	74.38%	74.54%	96.28%	107	102	5	0
3	ES323	18	High St A C	78.34%	77.41%	79.73%	88.66%	43	37	6	0
4	ES316	16	Smith 9th St F G	78.46%	81.43%	80.09%	94.30%	18	12	6	0
5	ES320	18	Jay St A C F	82.47%	82.47%	82.36%	98.94%	10	6	4	0
6	ES350	19	High St A C	83.10%	84.57%	83.79%	96.65%	12	7	5	0
7	ES307	16	Lawrence St R	88.44%	96.36%	82.46%	89.40%	38	34	4	0
8	ES306	13	Court St R	88.71%	91.51%	89.87%	95.66%	36	33	3	0
9	ES346	14	Brighton Beach B Q	88.96%	93.41%	86.66%	89.88%	81	65	16	0
10	ES332	13	Myrtle-Wyckoff Avs L M	89.03%	93.50%	87.30%	88.65%	49	44	5	0
11	ES305	13	Court St R	90.14%	90.55%	90.46%	95.19%	41	34	7	0
12	ES304	14	President St 2 5	90.51%	90.85%	92.90%	91.92%	52	40	12	0
13	ES318	16	Jay St A C F	91.41%	98.55%	90.29%	93.47%	59	50	9	0
14	ES335	13	West 8 St-NY Aquarium F Q	92.75%	96.87%	88.00%	90.26%	38	31	7	0
15	ES333	13	Myrtle-Wyckoff Avs L M	93.63%	99.42%	87.49%	91.88%	43	39	4	0
16	ES321	18	High St A C	94.33%	99.62%	93.46%	93.93%	52	45	7	0
17	ES348	17	Smith 9th St F G	94.56%	96.49%	94.90%	95.63%	34	30	4	0
18	ES357	5	Jay St A C F R	95.06%	96.63%	95.94%	86.84%	40	28	12	0
19	ES356	5	Jay St A C F R	95.78%	96.85%	98.89%	94.87%	108	37	71	0
20	ES310	14	Atlantic Av B Q	96.37%	98.30%	98.20%	91.97%	52	11	41	0
21	ES303	13	Borough Hall 2 3 4 5	96.50%	99.85%	98.32%	96.31%	19	11	8	0
22	ES347	20	Broadway Junction A C J L Z	96.72%	99.82%	96.89%	87.02%	29	21	8	0
23	ES352	16	Franklin Av S	96.73%	99.26%	95.95%	87.89%	26	18	8	0
24	ES315	16	Smith 9th St F G	96.77%	98.20%	98.63%	93.86%	15	8	7	0
25	ES314	16	Smith 9th St F G	96.99%	98.99%	96.97%	87.20%	23	16	7	0
26	ES349	17	Smith 9th St F G	97.19%	98.88%	97.68%	95.88%	18	9	9	0
27	ES331	21	Broadway Junction A C J L Z	97.48%	98.91%	96.75%	96.16%	23	19	4	0
28	ES308	16	DeKalb Av B Q R	98.06%	99.53%	98.23%	83.47%	16	11	5	0
29	ES322	18	High St A C	98.24%	98.75%	98.93%	91.97%	15	12	3	0
30	ES309	16	DeKalb Av B Q R	98.38%	99.41%	98.63%	97.34%	12	7	5	0
31	ES313	16	Smith 9th St F G	98.65%	100.00%	99.21%	96.67%	8	5	3	0
32	ES317	16	Jay St A C F	98.68%	100.00%	100.00%	95.95%	13	1	12	0
33	ES319	18	Jay St A C F	99.12%	100.00%	100.00%	97.29%	7	1	6	0
	33	15.4	Escalator Subtotal:	91.6%	93.8%	91.6%	92.9%	1158	841	317	0
*Note the number of entrapments are included in the non scheduled outage count.											

Elevator and Escalator
Quarterly Performance By Borough
Third Quarter - 2016

Borough:		Queens									
	Unit ID	Age (Yrs)	Station	2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrapments
				24 Hr	AM Peak	PM Peak		24 Hr	Total	Non Scheduled	
1	EL412	27	Jamaica Center E J Z	91.99%	93.86%	92.63%	94.40%	19	11	8	1
2	EL428	10	Queens Plaza E M R	92.97%	90.05%	95.34%	97.85%	31	26	5	2
3	EL446	5	CitiCorp/Court Square 7 E G	95.26%	97.40%	96.45%	98.96%	25	20	5	3
4	EL498	4	Mott Avenue A	96.17%	95.75%	96.43%	98.48%	33	28	5	1
5	EL414	16	Flushing-Main St 7	96.68%	97.74%	97.98%	98.22%	20	16	4	1
6	EL411	27	Sutphin Blvd-Archer Av-JFK E J Z	96.91%	98.70%	98.71%	97.32%	19	14	5	1
7	EL413	27	Jamaica Center E J Z	97.44%	96.96%	98.33%	97.53%	19	12	7	0
8	EL497	4	Mott Avenue A	97.74%	98.66%	100.00%	98.57%	19	14	5	1
9	EL433	11	Jamaica-179 St F	97.75%	98.08%	98.31%	97.83%	10	6	4	1
10	EL437	2	Forest Hills E F M R	97.89%	97.91%	98.33%	98.00%	13	10	3	1
11	EL431	11	Jamaica-179 St F	98.16%	98.93%	99.27%	99.24%	9	4	5	1
12	EL432	11	Jamaica-179 St F	98.18%	98.39%	98.73%	98.93%	14	10	4	0
13	EL447	5	CitiCorp/Court Square 7 E G	98.26%	98.54%	99.04%	99.05%	11	8	3	0
14	EL422	10	Jackson Hts-Roosevelt Av E F M R	98.46%	100.00%	99.03%	97.27%	6	1	5	0
15	EL421	10	Jackson Hts-Roosevelt Av E F M R	98.52%	99.86%	100.00%	99.08%	12	7	5	0
16	EL420	10	74 St-Broadway 7	98.55%	100.00%	98.91%	97.25%	9	4	5	0
17	EL434	8	Kew Gardens-Union Tpke E F	98.62%	99.68%	99.46%	98.23%	11	7	4	0
18	EL425	9	Junction Blvd 7	98.72%	99.89%	97.61%	93.62%	11	7	4	0
19	EL423	10	74 St-Broadway 7	98.78%	100.00%	100.00%	97.46%	7		7	0
20	EL427	9	Junction Blvd 7	98.79%	99.89%	100.00%	97.16%	6	2	4	0
21	EL438	2	Forest Hills E F M R	99.00%	100.00%	100.00%	98.01%	7	4	3	0
22	EL436	8	Kew Gardens-Union Tpke E F	99.02%	98.23%	100.00%	99.68%	6	3	3	0
23	EL430	10	Queens Plaza E M R	99.14%	100.00%	99.71%	99.18%	5	2	3	0
24	EL429	10	Queens Plaza E M R	99.20%	100.00%	99.62%	98.78%	6	2	4	0
25	EL426	9	Junction Blvd 7	99.23%	100.00%	100.00%	99.13%	4		4	0
26	EL439	2	Forest Hills E F M R	99.36%	100.00%	99.30%	99.90%	5	3	2	1
27	EL435	8	Kew Gardens-Union Tpke E F	99.65%	100.00%	100.00%	99.49%	3	1	2	0
	27	10.2	Elevator Subtotal:	97.8%	98.4%	98.6%	97.9%	340	222	118	14

Elevator and Escalator
Quarterly Performance By Borough
Third Quarter - 2016

Borough: Queens											
	Unit ID	Age (Yrs)	Station	2016 3rd Quarter Availability			2015 3rd Qtr. Availability	Outages			Entrapments
				24 Hr	AM	PM		Total	Non	Scheduled	
					Peak	Peak			Scheduled		
1	ES457	17	Flushing-Main St 7	66.12%	69.15%	65.17%	95.15%	37	28	9	0
2	ES455	17	Flushing-Main St 7	91.02%	94.92%	91.81%	97.66%	53	40	13	0
3	ES446	7	Jamaica Center E J Z	92.79%	97.14%	90.32%	94.69%	64	60	4	0
4	ES456	17	Flushing-Main St 7	93.18%	94.57%	93.72%	95.63%	29	18	11	0
5	ES450	17	74 St-Broadway 7	94.08%	93.05%	95.16%	93.89%	45	36	9	0
6	ES427	27	Jamaica-Van Wyck E	94.88%	98.64%	92.80%	91.31%	37	30	7	0
7	ES441	8	Jamaica Center E J Z	95.29%	96.93%	96.36%	96.32%	18	13	5	0
8	ES447	8	Jamaica Center E J Z	95.30%	97.46%	95.14%	97.65%	43	38	5	0
9	ES440	7	Jamaica Center E J Z	95.44%	98.71%	95.19%	98.75%	33	25	8	0
10	ES442	8	Jamaica Center E J Z	96.10%	96.57%	98.83%	96.13%	29	21	8	0
11	ES439	8	Jamaica Center E J Z	96.21%	98.21%	95.02%	95.24%	39	30	9	0
12	ES438	8	Jamaica Center E J Z	96.35%	99.44%	97.74%	97.65%	40	32	8	0
13	ES421	27	21 St-Queensbridge F	96.91%	98.95%	98.83%	95.42%	22	16	6	0
14	ES445	7	Jamaica Center E J Z	96.99%	98.60%	97.88%	97.10%	20	13	7	0
15	ES444	8	Jamaica Center E J Z	97.04%	97.88%	96.61%	98.66%	18	14	4	0
16	ES437	27	Sutphin Blvd-Archer Av-JFK E J Z	97.16%	99.17%	98.29%	97.69%	33	26	7	0
17	ES428	7	Jamaica-Van Wyck E	97.46%	99.40%	98.33%	97.23%	18	11	7	0
18	ES423	27	21 St-Queensbridge F	97.54%	99.90%	98.99%	95.35%	18	12	6	0
19	ES453	1	74 St-Broadway 7	97.61%	98.15%	98.91%	96.15%	23	20	3	0
20	ES431	8	Jamaica-Van Wyck E	97.76%	97.26%	98.95%	95.34%	24	19	5	0
21	ES422	27	21 St-Queensbridge F	97.86%	98.90%	98.89%	96.62%	20	13	7	0
22	ES448	16	Woodside-61 St 7	97.92%	99.18%	98.79%	96.60%	16	7	9	0
23	ES430	8	Jamaica-Van Wyck E	97.94%	99.65%	99.56%	93.70%	14	8	6	0
24	ES449	17	74 St-Broadway 7	98.11%	98.63%	98.17%	99.01%	16	12	4	0
25	ES426	27	21 St-Queensbridge F	98.13%	99.61%	99.72%	97.80%	14	9	5	0
26	ES452	1	74 St-Broadway 7	98.21%	98.96%	99.75%	98.09%	18	14	4	0
27	ES436	27	Sutphin Blvd-Archer Av-JFK E J Z	98.21%	99.51%	99.05%	96.52%	12	6	6	0
28	ES434	27	Sutphin Blvd-Archer Av-JFK E J Z	98.31%	98.55%	99.12%	98.54%	12	7	5	0
29	ES451	18	74 St-Broadway 7	98.33%	100.00%	99.57%	96.22%	15	4	11	0
30	ES429	7	Jamaica-Van Wyck E	98.34%	100.00%	99.01%	96.70%	14	8	6	0
31	ES424	27	21 St-Queensbridge F	98.42%	99.92%	100.00%	97.01%	9	2	7	0
32	ES425	27	21 St-Queensbridge F	98.44%	99.86%	99.42%	98.29%	12	6	6	0
33	ES435	27	Sutphin Blvd-Archer Av-JFK E J Z	98.94%	100.00%	99.74%	98.63%	9	6	3	0
34	ES443	8	Jamaica Center E J Z	99.19%	100.00%	99.28%	96.88%	6	3	3	0
34	15.4		Escalator Subtotal:	95.9%	97.6%	96.5%	96.3%	830	607	223	0
*Note the number of entrapments are included in the non scheduled outage count.											

2016 3RD QUARTER ELEVATORS WITH LESS THAN 85% AVAILABILITY			
Borough/ Unit	Location	24 Hr Availability	Comments
BRONX			
EL128	Simpson St 2 5	81.69%	This elevator was replaced under Capital Replacement Program and has been out numerous times, most noticeably on following dates: 7/18/16 to 7/20/16, 8/2/16 to 8/4/16, 9/3/16 to 9/7/16 and 9/26/16 to 10/4/16, since being placed in service on 7/8/16, due to warranty related problems. The contractor adjusted the rupture valve, replaced the door operator motor and pulley, and replaced the valve body. The elevator has returned to service.
EL182	Gun Hill Rd 2 5	84.01%	The elevator was out of service on 7/6/16 due to an entrapment. The slow down switch was cleaned and adjusted. The elevator was out of service from 8/10/16 to 8/11/16 due to the valve body needing adjustments. It was adjusted. The elevator was out of service from 8/24/16 to 8/25/16 due to down direction faults. The parameter was adjusted for the down leveling and the interlocks were also cleaned and adjusted. The elevator was out of service from 9/8/16 to 9/9/16 due to the elevator overshooting the top landing. The slow down switch was replaced. The elevator has returned to service.
BROOKLYN			
EL393	Flushing Av J M	83.06%	This elevator was out of service from 9/1/2016 to 9/9/2016 for oil and valve body replacement. This was necessary due to sediment contamination in the oil. The entire system was cleaned and the new valve body was installed and adjusted properly. A full load weight test was done. The elevator has returned to service.
MANHATTAN			
EL108	181 St 1	21.25%	This elevator was out of service from 7/12/16 to 9/20/16 due to defective hoist motor fields and inter-poles. The hoist motor fields and inter-poles were sent out to a vendor for repairs. Repaired hoist motor fields and inter-poles were reinstalled. The elevator has returned to service.
EL335	West 4 St A B C D E F M	70.81%	This elevator was out of service for a Rams Head replacement form 7/7/2016 to 7/19/2016. The Rams Head was removed and sent to the machine shop contractor for repair. The repairs were made and the elevtaor was placed back in service. The elevator was again out of service form 7/7/2016 to 7/19/2016 to rplace the oil and valve body. In addition, the oil cooler and selector tape guide shoes were replaced. The elevator has returned to service.
EL281	57 St-7 Av N Q R	73.65%	This elevator had multiple outages related to the elevator not leveling correctly and speed control. Some of the outage dates are as follows: 8/22/16 to 8/23/16, 8/25/16 to 9/7/16, 9/8/16 to 9/11/16, 9/26/16 to 9/28/16. We replaced the soft starter contactors, adjusted the valve body, adjusted shaft way switches, replaced the emergency power back up system and adjusted the selector leveling magnets, Also additional work was done between 10/2/16 and 10/3/16; the valve body was rebuilt, the piston seals were replaced and the pump unit was repaired. The elevator has returned to service.

2016 3RD QUARTER ELEVATORS WITH LESS THAN 85% AVAILABILITY			
Borough/ Unit	Location	24 Hr Availability	Comments
EL314	Brooklyn Bridge 4 5 6	79.83%	This elevator was out of service from 7/11/2016 to 7/18/2016 due to elevator door issues. The clutch, linkage bearings, spirator, and tensioning bolt were replaced, the cams were adjusted, and the stainless steel skin was resecured. All door contacts were also changed. The elavtor was tested and returned to customer service. On 8-8-2016 this elevator was removed form service for Capitol replacement.
EL119	181 St A	80.88%	This elevator had two major repair jobs. The elevator was out from 6/28/16 to 7/7/16. The selector tape pulley and rail guide shoes were replaced. The elevator was out from 9/2/16 to 9/10/16. The door operator was replaced as well as various contacts for the door operator circuit. The elevator has returned to service.

2016 3RD QUARTER ESCALATORS WITH LESS THAN 85% AVAILABILITY			
Borough/ Unit	Location	24 Hr Availability	Comments
BRONX			
ES105	Gun Hill Rd 2 5	45.38%	This escalator has been out of service since 8/28/16 due to bull gear and step chain replacement. The bull gear that drives the step chain was sent to a vendor for repairs and has since been installed. Currently we are in the process of replacing the step chain and steps. After repairs are completed the escalator will be tested and returned to service. We expect that its performance will improve.
ES108	Intervale Av 2 5	66.54%	This escalator was out of service from 6/27/16 to 7/29/16 due to worn step chain and the brake system needing repairs. The brake system was replaced; the step chain and steps were replaced. The escalator has returned to service. The performance of this escalator has since improved.
ES120	Pelham Bay Park 6	47.39%	This escalator was out of service from 7/29/16 to 9/08/16 due to worn step chain and the brake system needing repairs. The brake system was replaced; the step chain and steps were replaced. The escalator has returned to service. The performance of this escalator has since improved.
BROOKLYN			
ES316	Smith 9th St F G	78.46%	This escalator was out of service from 7/14/2016 to 7/22/2016 due to a broken sprinkler pipe that shorted out the safety pilz relay and brake # 2 coil plug. Both parts were replaced and escalator was returned to passenger service. The escalator was out of service again from 7/27/2016 to 8/3/2016 to replace brake coils # 1 and # 2. The escalator has returned to service.
ES320	Jay St A C F	82.47%	This escalator was out of service for maintenance repair from 8/24/2016 to 9/7/2016. The motor seal was leaking and needed to be replaced. The motor was removed and sent to vendor for rehabilitation. The motor was rebuilt, reinstalled. The escalator has returned to service.
ES323	High St A C	78.34%	This escalator was out of service from 8/19/2016 to 8/30/2016 due to drive motor failure. The motor was sent out to a vendor for rewinding. While this escalator's motor was out for repair, the motor from escalator ES324 was swapped to this machine in order to provide up service at this location. After ES323 motor was repaired, the motors were swapped back to the original configuration. The escalator has returned to service.
ES324	High St A C	69.22%	This escalator was out of service from 8/29/2016 to 9/24/2016 due to a drive motor swap with escalator ES323. The motors were swapped in order to provide up service at this location while ES323 motor was being repaired. After ES323 motor was repaired, the motors were swapped back to the original configuration. The escalator has returned to service.
ES330	Broadway Junction A C J L Z	71.55%	This escalator has a problematic recurring electrical issue which has proven difficult to troubleshoot. We are systematically going over each circuit on this escalator to isolate and correct this recurring problem.
ES350	High St A C	83.10%	This escalator was out of service for planned repairs from 7/8/2016 to 7/22/16 for worn step chain wheels, worn motor gear box bushing, and an open wire in the brake circuit. Step chain wheels and bushings were replaced and a spare wire was used to correct the open in the brake circuit. The escalator has returned to service.
MANHATTAN			
ES115	145 St B D	81.10%	This escalator was out of service from 7/8/16 to 7/22/16 due to both handrails being defective. The left and right handrails were ordered and replaced. The escalator has returned to service.

2016 3RD QUARTER ESCALATORS WITH LESS THAN 85% AVAILABILITY			
Borough/ Unit	Location	24 Hr Availability	Comments
ES232	34 St-Herald Sq B D F M	82.00%	This escalator had several failures last quarter. The left handrail was replaced between 7/31/16 and 8/2/16. The main drive chain safety device was repaired between 9/14/16 and 9/15/16. Between 7/1/16 and 9/30/16, there were several safety device activations such as the comb impact, skirt switches and emergency stop switches which stopped the escalator. We are continuing to investigate why these switches activate sporadically. We hope to repair these issues and improve the reliability and availability of this escalator in the next quarter.
ES326	West 4 St A B C D E F M	84.82%	This escalator was out of service from 8/15/2016 to 8/23/2016 due to a step wreck. One step and a damaged right-side upper landing upthrust track were replaced. In addition, a defective brake # 2 module was also replaced. The escalator has returned to service.
ES401	Lexington Av-63 St F	71.08%	An initiative to rebuild all escalators at 63/Lex in anticipation of the opening of the 2nd Ave line, this machine was taken out of service from 6-27-2016 to 7-24-2016 for rebuilding. The motor gearbox was sent out for rebuilding, as was the head shaft and handrail sprockets. The step chain and steps were all replaced with new as was both upper and lower landing plates.
ES402	Lexington Av-63 St F	76.37%	Due to an initiative to rebuild all escalators at 63/Lex in anticipation of the opening of the 2nd Ave subway line, this escalator was taken out of service from 9-11-2016 to 10-10-2016 for rebuilding. The motor gearbox was sent out for rebuilding, as were the head shaft and handrail sprockets. The step chain and steps were all replaced with new, as were both upper and lower landing plates. The escalator has returned to service.
ES416	Roosevelt Island F	84.16%	This escalator was out of service from 9/13/16 to 9/23/16 due to worn flywheel and damaged oil seal. The flywheel was removed and rebuilt and the oil seal was replaced. The escalator has returned to service.
ES622	34 St-Hudson Yards 7	74.47%	This escalator was out of service from 9/3/16 to 9/25/16 for warranty repair. The upper landing left side, right side, newel sheave bearings and newel deck were replaced and repaired. The escalator has returned to service.
QUEENS			
ES457	Flushing-Main St 7	66.12%	This escalator was out of service from 7-29-2016 to 8-23-2016 for a cracked gear case. Due to the age of this escalator and unavailability of parts, several parts had to be custom made and retrofitted. The escalator has returned to service..

2016 3RD QUARTER ENTRAPMENT FINDINGS			
Borough/ Unit	Location	# of Entrapments	Comments
BRONX			
EL127	Simpson St 2 5	1	The entrapment that occurred on 8/22/16 was the result of the elevator not leveling correctly. The selector tape floor position magnet was adjusted and secured; the elevator was tested and returned to service.
EL128	Simpson St 2 5	4	The entrapments that occurred on 7/9/16 and 8/2/16 were the result of the doors not having enough power to close. The door operator cams were adjusted and the door operator was reprogrammed; the elevator was tested and returned to service. The entrapment that occurred on 8/13/16 was the result of debris (rocks) in the door saddle. The debris was removed; the elevator was tested and returned to service. The entrapment that occurred on 8/20/16 was the result of debris stuck on the door sills that did not allow the doors to operate correctly. The debris such as cigarette butts and dirt were removed from the door sill; the elevator was tested and returned to service. The entrapment that occurred on 9/3/16 was the result of a defective door operator motor and pulley. The contractor replaced the door operator motor and pulley; the elevator was tested and returned to service.
EL129	3rd Ave-149 St 2 5	1	The entrapment that occurred on 8/4/16 was the result of support members not having rubber bumpers to steady the elevator. The bumpers were installed; the elevator was tested and returned to service.
EL130	3rd Ave-149 St 2 5	2	The two entrapments that occurred on 7/9/16 and 7/18/16 were the result of the oil getting too hot. The oil was allowed to cool off; the elevator was tested and returned to service.
EL138	Pelham Pkwy 2 5	4	The entrapment that occurred on 7/24/16 was the result of debris at the upper landing sill. The debris was cleaned; the elevator was tested and returned to service. The entrapment that occurred on 8/5/16 was the result of a loose wire on the soft starter and the doors at the top landing were binding. All connections to the soft starter were tightened and the top door was adjusted; the elevator was tested and returned to service. The entrapment that occurred on 9/18/16 was the result of the top of car inspection switch not working correctly. The top of car inspection switch was repaired, the upper landing hatch door contacts were cleaned; the elevator was tested and returned to service. The entrapment that occurred on 9/18/16 was the result of the lower landing release roller not working correctly. The lower landing release rollers were replaced, the upper landing interlocks were adjusted; the elevator was tested and returned to service.
EL182	Gun Hill Rd 2 5	2	The entrapment that occurred on 7/6/16 was the result of the slow down switch getting stuck. The switch was freed; the elevator was tested and returned to service. The entrapment that occurred on 8/24/16 was the result of the DS fault in the down direction. The parameter FTLD was adjusted to correct this fault; the elevator was tested and returned to service.
EL183	Gun Hill Rd 2 5	1	The entrapment that occurred on 8/10/16 was the result of the oil cooler circuit breaker tripping causing oil to overheat. The circuit breaker was reset, the lower landing door operator cams were adjusted and the slow down switch contacts were cleaned; the elevator was tested and returned to service.
EL184	231st St 1	1	The cause of the entrapment that occurred on 9/14/16 could not be determined. The elevator was tested and returned to service.

2016 3RD QUARTER ENTRAPMENT FINDINGS

Borough/ Unit	Location	# of Entrapments	Comments
EL189	Kingsbridge Rd B D	1	The entrapment that occurred on 9/29/16 was the result of the lower landing hatch doors not operating correctly. The lower landing hatch door interlock was adjusted, the car door restrictor was also adjusted; the elevator was tested and returned to service.
EL193	233rd St 2 5	1	The entrapment that occurred on 7/6/16 was the result of debris in the upper landing door sill. The debris was cleaned; the elevator was tested and returned to service.
EL194	233rd St 2 5	1	The entrapment that occurred on 8/28/16 was the result of the elevator not leveling correctly. The valve body was adjusted, the PLC software was re-installed and the PLC battery was replaced; the elevator was tested and returned to service.
EL195	Hunts Point Av 6	1	The entrapment that occurred on 8/28/16 was the result of debris (paper) preventing the doors from properly closing at the lower landing. The debris was removed; the elevator was tested and returned to service.

2016 3RD QUARTER ENTRAPMENT FINDINGS			
Borough/ Unit	Location	# of Entrapments	Comments
BROOKLYN			
EL301	Pacific St-Atlantic Av D N R	1	The entrapment that occurred on 7/5/2016 was the result of debris in saddles. All door saddles and elevator pit were cleaned. The elevator was tested and returned to service.
EL304	Atlantic Av 2 3	3	The entrapment that occurred on 7/4/2016 was the result of damaged lower landing hatch doors and mounting equipment. The doors were removed, all hangar rollers were replaced. The strike post was repaired and the door interlock assembly was replaced. The elevator was tested and returned to service. The entrapment that occurred on 7/8/2016 was the result of misaligned upper landing release rollers and clutch assembly. The rollers and clutch assembly were adjusted and the upper landing interlock contacts were cleaned. The elevator was tested and returned to service. The entrapment that occurred on 7/13/2016 was the result of a defective door zone relay. The door zone relay was replaced. The elevator was tested and returned to service.
EL306	Atlantic Av 2 3	2	The entrapment that occurred on 8/8/2016 was the result of a defective door closing spirator and broken release rollers at lower landing. All defective parts were replaced. The elevator was tested and returned to service. The entrapment that occurred on 9/1/2016 was the result of a misaligned interlock and door close limit cam. The interlock and door close limit cam were properly adjusted. The elevator was tested and returned to service.
EL307	Atlantic Av B Q	1	The entrapment that occurred on 9/19/2016 was the result of a jammed car door restrictor. The restrictor was freed up and adjusted. The elevator was tested and returned to service.
EL311	Clark St 2 3	1	The entrapment that occurred on 8/13/16 was the result of a defective smoke head in the elevator pit and the A/C unit shutting down. The smoke head was replaced and the A/C unit was reset. The elevator was tested and returned to service.
EL323	Crown Hts-Utica Av 3 4	1	The entrapment that occurred on 7/02/2016 was the result of oil overheating due to defective oil cooler pump. The oil cooler pump was replaced. The elevator was tested and returned to service.
EL345	Utica Ave A C	1	The cause of the entrapment that occurred on 8/26/2016 could not be determined. The elevator was tested and returned to service.
EL371	DeKalb Av B Q R	1	The entrapment that occurred on 7/26/2016 was the result of a defective lower landing release roller and worn rubber dampener on the steadying plate. The release roller and rubber dampener were replaced. The elevator was tested and returned to service.

2016 3RD QUARTER ENTRAPMENT FINDINGS			
Borough/ Unit	Location	# of Entrapments	Comments
EL393	Flushing Av J M	4	The entrapment that occurred on 7/23/2016 was the result of a blown fuse on the XMLT circuit. The fuse was replaced and the circuit was tested. The elevator was tested returned to service. The entrapment that occurred on 9/1/2016 was the result of a blown door operator fuse and a jammed final limit switch. The door operator fuse was replaced and the final limit switch was freed up and lubricated. The elevator was tested and returned to service. The entrapment that occurred on 9/1/2016 was the result of the valve body being clogged with sediment. The oil was changed, the valve body was replaced and all sediment was removed. The elevator was tested and returned to service. The entrapment that occurred on 9/14/2016 was the result of debris(cigarette box) stuck in the upper landing door sill. The cigarette box was removed. The elevator was tested and returned to service.
EL396	Myrtle-Wyckoff Ave L M	2	The cause of the entrapment that occurred on 7/15/2016 could not be determined. The elevator was tested and returned to service. The entrapment that occurred on 9/30/2016 was the result of a burnt coil on DNX relay and a defective PLC output module. Both defective items were replaced. The elevator was tested and returned to service.
EL708	Jay St A C F R	1	The cause of the entrapment that occurred on 8/13/2016 could not be determined. The elevator was tested and returned to service.

2016 3RD QUARTER ENTRAPMENT FINDINGS			
Borough/ Unit	Location	# of Entrapments	Comments
MANHATTAN			
EL104	191 St ①	1	The entrapment that occurred on 7/23/16 was the result of dirty car door contacts. The hatch door contacts were cleaned at the top and bottom landings; the elevator was tested and returned to service.
EL106	191 St ①	2	The entrapment that occurred on 7/22/16 was the result of a fuse that interrupted power to the controller. The F4 fuse was replaced and the emergency escape gate switch # 9 was repaired; the elevator was tested and returned to service. The entrapment that occurred on 8/21/16 was the result of a defective brake relay and door restrictor. The "SAFB" brake relay was repaired and the door restrictor was also adjusted, the lower landing leveling was also adjusted; the elevator was tested and returned to service.
EL107	181 St ①	2	The entrapment that occurred on 8/4/16 was the result of defective contacts on the SNN2 relay that did not allow the brakes to lift and activated the overload. The SSN2, BKM, BKM2, relays were replaced and the overload was reset; the elevator was tested and returned to service. The entrapment that occurred on 9/9/16 was the result of the overload activating. The overload was reset; the elevator was tested and returned to service.
EL108	181 St ①	1	The entrapment that occurred on 7/12/16 was the result of the overload being activated due to a short in the hoist motor fields and interpoles. The hoist motor fields and interpoles were replaced; the elevator was tested and returned to service.
EL109	181 St ①	2	The entrapment that occurred on 7/20/16 was the result of the lower landing right side interlock being out of adjustment. The interlock was adjusted; the elevator was tested and returned to service. The entrapment that occurred on 7/22/16 was the result of a defective tach wheel. The tach wheel was replaced and the brake pads were adjusted; the elevator was tested and returned to service.
EL110	181 St ①	1	The entrapment that occurred on 9/4/16 was the result of a defective door restrictor. The door restrictor was repaired; the elevator was tested and returned to service.
EL113	168 St ①	2	The entrapment that occurred on 7/22/16 was the result of a defective brake switch. The brake switch was replaced and relays "R", "RUN", "SAFB1 and 2" were also replaced; the elevator was tested and returned to service. The entrapment that occurred on 7/24/16 was the result of the overload being activated. The overload was reset and its contacts were cleaned; the elevator was tested and returned to service.
EL114	168 St ①	1	The entrapment that occurred on 7/20/16 was the result of the car going into the limits at the top landing. The car was removed from the limits. The root cause as to why it went into the limits could not be determined; the elevator was tested and returned to service.
EL116	190 St A	1	The entrapment that occurred on 8/4/16 was the result of a defective door operator belt. The door operator belt was replaced; the elevator was tested and returned to service.
EL117	181 St A	1	The entrapment that occurred on 7/6/16 was the result of a defective tach wheel. The tach wheel was replaced; the elevator was tested and returned to service.

2016 3RD QUARTER ENTRAPMENT FINDINGS			
Borough/ Unit	Location	# of Entrapments	Comments
EL120	190 St A	3	The entrapment that occurred on 7/21/16 was the result of defective contacts on the XMC relay that controls the hoist motor field current. The XMC relay contacts were cleaned and adjusted; the elevator was tested and returned to service. The entrapments that occurred on 9/12/16 and 9/20/16 were the result of the generator not working correctly. The generator commutator was cleaned, the carbon brushes were replaced and reseated, a few controller wires were repaired and the safety relay was replaced. The elevator was tested and returned to service.
EL124	175 St A	1	The entrapment that occurred on 8/2/16 was the result of debris in the door saddle. Debris (candy, pebbles & pen) were removed from the door saddle. The car gate switch was also inspected and cleaned; the elevator was tested and returned to service.
EL139	168 St 1 A C	1	The entrapment that occurred on 9/18/16 was the result of the glass panel door not closed. The glass panel door was closed; the elevator was tested and returned to service.
EL144	125 St A B C D	1	The entrapment that occurred on 8/30/16 was the result of a loose emergency escape hatch door. The door was secured; the elevator was tested and returned to service.
EL146	96th St 231	1	The entrapment that occurred on 8/28/16 was the result of the valve body not working correctly. The top and bottom slow down and limit switches were replaced; the elevator was tested and returned to service.
EL178	Dyckman St 1	3	The entrapment that occurred on 9/7/16 was the result of a loose slow down switch at the lower landing. The switch was secured and the ip8300 guide shoes were tightened; the elevator was tested and returned to service. The entrapment that occurred on 9/9/16 was the result of a lower landing interlock being out of adjustment. The interlock was adjusted; the elevator was tested and returned to service. The entrapment that occurred on 9/22/16 was the result of the car not operating due to the unintended movement of the elevator while it was at the landing. The elevator brakes were cleaned and adjusted; the elevator was tested and returned to service.
EL201	51 St 6	2	The entrapment that occurred on 9/5/16 was the result of a fuse that became inoperative. The F4 fuse was replaced; the elevator was tested and returned to service. The entrapment that occurred on 8/31/16 was the result of debris in the door sill that prevented the doors from opening. The debris was removed; the elevator was tested and returned to service.
EL202	51 St 6	2	The entrapment that occurred on 9/11/16 was not determined. The elevator was inspected and returned to service. The entrapment that occurred on 9/14/16 was the result of defective hardware on the lower landing hatch door release roller assembly and a defective door operator board. The hardware and door operator were replaced, the door operator cams were also adjusted; the elevator was tested and returned to service.
EL204	Grand Central-42 St 4 5 6 7 S	2	The entrapment that occurred on 8/15/16 was the result of the up slow down switch not working. The slow down switch was replaced; the elevator was tested and returned to service. The entrapment that occurred on 8/16/16 was the result of a defective motor start up contactors. The motor start up contactor was replaced and the star delta timer was also replaced; the elevator was tested and returned to service.

2016 3RD QUARTER ENTRAPMENT FINDINGS			
Borough/ Unit	Location	# of Entrapments	Comments
EL211	34 St-Herald Sq. NQR	1	The entrapment that occurred on 8/7/16 was the result of the door at the lower landing not closing properly. The hoist way door closer assembly was adjusted and the door saddle was repaired; the elevator was tested and returned to service.
EL212	34 St-Herald Sq. NQR	1	The entrapment that occurred on 7/8/16 was the result of debris (A rock) stuck on the door sill that prevented the doors from closing completely. The rock was removed; the elevator was tested and returned to service.
EL213	34 St-Herald Sq. BDFMNQR	3	The entrapments that occurred on 7/2/16 and 8/6/16 were the result of debris (cigarette butts, gauze pads) stuck in the door sill at the street level that did not allow doors to operate correctly. The debris was removed; the elevator was tested and returned to service. The entrapment that occurred on 8/14/16 was the result of the door restrictor not working correctly. The door restrictor cam was replaced; the elevator was tested and returned to service.
EL219	14 St-Union Sq. NQR	1	The entrapment that occurred on 9/28/16 was the result of the doors not operating correctly. The top and bottom hatch door interlocks were cleaned, the hangar rollers were lubricated; the elevator was tested and returned to service.
EL220	14 St-Union Sq. NQR	1	The cause of the entrapment that occurred on 7/9/16 could not be determined. The elevator was tested and returned to service.
EL221	14 St/8 Av ACEEL	1	The entrapment that occurred on 7/19/16 was the result of debris (piece of rubber) in the door sill not allowing the doors to operate correctly. The debris was removed; the elevator was tested and returned to service.
EL224	8 Av L	5	The entrapment that occurred on 7/6/16 was the result of the door hangars and door operator belt being worn. The door hangars and door operator belt were replaced and adjusted; the elevator was tested and returned to service. The entrapments that occurred on 8/18/16, 8/20/16 and 8/23/16 were the result of the car and hatch doors needing adjustment and replacement of hangar rollers. The doors were adjusted, door hangar rollers were replaced and adjusted, car door restrictor was adjusted; the elevator was tested and returned to service. The entrapment that occurred on 9/2/16 was the result of a defective door open relay. The relay was replaced and the door open limit cam was adjusted; the elevator was tested and returned to service.
EL225	34 St-Penn Station CE	4	The entrapment that occurred on 7/19/16 was the result of a dirty screen in the down direction port of the valve body. The screen was cleaned; the elevator was tested and returned to service. The entrapment that occurred on 7/21/16 was the result of the selector guide shoes being worn. The selector guide shoes were replaced; the elevator was tested and returned to service. The entrapment that occurred on 7/24/16 was the result of worn rail guide shoes. The rail guide shoes were replaced and the elevator cab was realigned; the elevator was tested and returned to service. The entrapment that occurred on 9/22/16 was the result of the valve body timer fault activating due to the oil being too hot. The fault was reset and the oil cooler was repaired; the elevator was tested and returned to service.
EL229	Times Sq-42 St NQR	1	The entrapment that occurred on 9/6/16 was the result of a defective car glass door switch and door related issues. The wiring on the glass door switch was repaired, door closing speed and door reopening device were adjusted; the elevator was tested and returned to service.

2016 3RD QUARTER ENTRAPMENT FINDINGS			
Borough/ Unit	Location	# of Entrapments	Comments
EL245	Lexington Av-53 St E M	3	The entrapment that occurred on 7/18/16 was the result of a defective door operator belt. The door operator belt was replaced; the elevator was tested and returned to service. The entrapment that occurred on 9/22/16 was the result of rear car door operator fault. The fault was reset, the connections were tightened on the door operator and the door opening speed was adjusted; the elevator was tested and returned to service. The entrapment that occurred on 9/26/16 was the result of the elevator not leveling correctly. The up and down leveling speed and transition were adjusted; the elevator was tested and returned to service.
EL277	59th St-Columbus Circle A B C D 1	2	The entrapment that occurred on 7/27/16 was the result of a loose interlock keeper plate. The interlock keeper plate was secured and adjusted the hangar roller on the middle door level; the elevator was tested and returned to service. The cause of the entrapment that occurred on 9/29/16 could not be determined. The elevator was tested and returned to service.
EL278	59th St-Columbus Circle A B C D 1	4	The entrapment that occurred on 7/3/16 was the result of the doors at the upper landing not working correctly. The upper level door restrictor was adjusted, the hoist way door release roller was adjusted; the elevator was tested and returned to service. The entrapment that occurred on 7/5/16 was the result of defective relays on the control board for leveling and normal limit switch out of adjustment. The defective relays were replaced and the normal limit switch was secured. The bottom rail guide shoe was also adjusted; the elevator was tested and returned to service. The cause of the entrapment that occurred on 7/9/16 could not be determined; the elevator was tested and returned to service. The entrapment that occurred on 8/19/16 was the result of the elevator doors and operator needing adjustment. The top and bottom hatch doors were adjusted, the door operator cam was adjusted; the elevator was tested and returned to service.
EL281	57 St-7 Av N Q R	4	The entrapment that occurred on 8/18/16 was the result of the car not leveling correctly. The valve body was adjusted, the top slow down switch was cleaned and the top door lock was adjusted; the elevator was tested and returned to service. The entrapment that occurred on 8/25/16 was the result of a defective motor soft starter unit. The soft starter unit was replaced; the elevator was tested and returned to service. The entrapment that occurred on 9/8/16 was the result of the soft starter for the pump motor not working correctly. The "MC" contactor for the soft starter was replaced; the elevator was tested and returned to service. The entrapment that occurred on 9/15/16 was the results of the doors binding at the lower landing. The doors were adjusted and the valve body was also adjusted; the elevator was tested and returned to service.
EL336	Chambers St 1 2 3	1	The entrapment that occurred on 9/1/2016 was the result of a blown station feeder 200A fuse. The fuse was replaced and the motor was checked for ground. The elevator was tested and returned to service.
EL721	Fulton St A C J Z 2 3 4 5	1	The entrapment that occurred on 8/12/2016 was the result of dirty lower landing interlock contacts. The contacts were cleaned. The elevator was tested and returned to service.

2016 3RD QUARTER ENTRAPMENT FINDINGS			
Borough/ Unit	Location	# of Entrapments	Comments
QUEENS			
EL411	Sutphin Blvd-Archer Av-JFK E J Z	1	The entrapment that occurred on 7/12/2016 was the result of a defective middle landing release rollers. The rollers were replaced, all landing door saddles were cleaned, and the hoist way interlocks were inspected. The elevator was tested and returned to service.
EL412	Jamaica Center E J Z	1	The entrapment that occurred on 9/10/2016 was the result of a burnt resistor and wires on the door circuit. The resistor and wires were replaced. The elevator was tested and returned to service.
EL414	Flushing-Main St 7	1	The entrapment that occurred on 7/18/2016 was the result of a soda pop bottle cap getting stuck under upper hatch door. The cap was removed. The elevator was tested and returned to service.
EL428	Queens Plaza E M R	2	The entrapment that occurred on 9/12/2016 was the result of an open wire in the hatch door circuit. In addition, a loose wire was found on the fireman service switch. Both items were repaired. The elevator was tested and returned to service. The entrapment that occurred on 9/20/2016 was the result of a loose wire on the door operator power supply. The wire was secured. The elevator was tested and returned to service.
EL431	Jamaica-179 St F	1	The entrapment that occurred on 7/29/2016 was the result of damaged lower landing hatch door panels. The doors were removed, repaired and reinstalled. The elevator was tested and returned to service.
EL433	Jamaica-179 St F	1	The entrapment that occurred on 8/11/2016 was the result of a misaligned rear door clutch and interlock switch. The rear door clutch and interlock switch were adjusted. The elevator was tested and returned to service.
EL437	Forest Hills E F M R	1	The cause of the entrapment that occurred on 7/7/2016 could not be determined. The elevator was tested and returned to service.
EL439	Forest Hills E F M R	1	The entrapment that occurred on 9/28/2016 was a result of a misaligned lower landing car door restrictor. The restrictor was adjusted. The elevator was tested and returned to service.
EL446	Citicorp/Court Square 7 E G	3	The entrapment that occurred on 7/22/2016 was the result of an out of adjustment valve body. The valve body was adjusted. The elevator was tested and returned to service. The cause of the entrapment that occurred on 8/17/2016 could not be determined. The elevator was tested and returned to service. The entrapment that occurred on 9/24/2016 was the result of faulted PLC. The fault was reset and upon further investigation a defective door operator pulley stop roller and a damaged door restrictor bracket were discovered. Both parts were replaced. The elevator was tested and returned to service.
EL497	Mott Avenue A	1	The cause of the entrapment occurred on 9/12/2016 could not be determined. The elevator was tested and returned to service. This entrapment may have been due to FDNY removing power from the wrong elevator as there was an entrapment on EL498 at the same time and both elevators share a common motor room
EL498	Mott Avenue A	1	The entrapment that occurred on 9/12/2016 was the result of a misaligned door restrictor. The restrictor was adjusted. The elevator tested and returned to service.

2016 3RD QUARTER EQUIPMENT MAINTAINED BY OUTSIDE ENTITIES OR THIRD PARTIES					
E&E Equip #	Original Equip #	Station Name:	Line	# of Inspections (07/01/16 to 09/30/16)	# Of Tours O-O-S
EL200X	EL200X	34 St - Herald Square	6th Avenue	276	9
EL203X	EL203X	Lexington Av - 53 St	Queens Blvd	276	3
EL207X	EL207X	50 Street	8th Avenue	276	0
EL208X	EL208X	50 Street	8th Avenue	276	1
EL231X	EL231X	Times Square - 42 St	Broadway / 7th Avenue	276	3
EL268X	EL268X	49th Street (Uptown)	Broadway	276	0
EL276X	EL276X	59 St - Columbus Circle	8th Avenue	276	0
EL279X*	NEW	28th Street	Lexington Avenue	276	1
EL287X	Elev # TE46	42nd St - Bryant Park	6th Avenue	276	0
EL288X	Elev # ELP6	42nd St - Port Authority Bus Terminal	8th Avenue	276	4
EL289X	Elev # ELP7	42nd St - Port Authority Bus Terminal	8th Avenue	276	0
EL290X	Lift	42nd St - Port Authority Bus Terminal	8th Avenue	276	208
EL291X		42nd St - Port Authority Bus Terminal	8th Avenue	276	31
EL292X	NEW	42nd Street - Bryant Park	6th Avenue	276	0
EL294X	NEW	42nd Street - Bryant Park	6th Avenue	276	1
EL300X	EL300X	Atlantic Avenue	LIRR	276	1
EL327X	NEW	Jay Street/Metro Tech	BMT	276	6
EL415X	EL415X	61 St - Woodside	Flushing	276	2
EL416X	EL416X	61 St - Woodside	Flushing	276	0
EL417X	EL417X	61 St - Woodside	Flushing	276	0
EL418X	EL418X	61 St - Woodside	Flushing	276	0
EL419X	EL419X	61 St - Woodside	Flushing	276	0
EL445X	EL445X	Court Square	Flushing	276	35
EL448X	PE11	Sutphin Blvd - Archer Av JFK	ARC	276	0
EL449X	EL449X	Sutphin Blvd - Archer Av JFK	ARC	276	0
EL450X	EL450X	Sutphin Blvd - Archer Av JFK	ARC	276	0
EL490X	Elec # EL1	Howard Beach - JFK Airport	Rockaway	276	0
EL491X	EL2	Howard Beach - JFK Airport	Rockaway	276	6
EL492X	EL300X	Howard Beach - JFK Airport	Rockaway	276	2
EL493X	EL4	Howard Beach - JFK Airport	Rockaway	276	0
EL494X	EL5	Howard Beach - JFK Airport	Rockaway	276	0
EL495X	EL6	Howard Beach - JFK Airport	Rockaway	276	2

2016 3RD QUARTER EQUIPMENT MAINTAINED BY OUTSIDE ENTITIES OR THIRD PARTIES					
E&E Equip #	Original Equip #	Station Name:	Line	# of Inspections (07/01/16 to 09/30/16)	# Of Tours O-O-S
EL700X	NEW	ATLANTIC AVE/BARCLAY CTR	FLATBUSH	276	70
EL717X		FULTON ST		276	0
EL718X		FULTON ST		276	0
EL726X		FULTON ST		276	1
EL727X		FULTON ST		276	47
EL728X	NEW	FULTON ST	Nassau Loop BMT	276	4
EL729X		FULTON ST		276	0
EL733X	NEW	FULTON STREET		276	10
EL737X		ATLANTIC AVE/BARCLAY CTR	FLATBUSH	276	0
ES250X	ES250X	59 St - Columbus Circle	8th Avenue	276	1
ES251X	ES251X	59 St - Columbus Circle	8th Avenue	276	11
ES253X	ES253X	Lexington Av - 53 St	Queens Blvd	276	83
ES254X	ES254X	Lexington Av - 53 St	Queens Blvd	276	31
ES257X	ES257X	14 St - Union Square	Lexington Avenue	276	33
ES258X	ES258X	14 St - Union Square	Lexington Avenue	276	31
ES261X	ES261X	Times Square - 42 St	Broadway / 7th Avenue	276	24
ES262X	ES262X	Times Square - 42 St	Broadway / 7th Avenue	276	2
ES263X	ES263X	50 Street	8th Avenue	276	1
ES264X	ES264X	50 Street	8th Avenue	276	25
ES265X	ES002X	Court Square	Crosstown	276	4
ES266X	ES001X	Court Square	Crosstown	276	6
ES267X	ES267X	Times Square - 42 St	Broadway / 7th Avenue	276	12
ES268X	ES268X	Times Square - 42 St	Broadway / 7th Avenue	276	0
ES358X	NEW	ATLANTIC AVE/BARCLAY CTR		276	104
ES359X	NEW	ATLANTIC AVE/BARCLAY CTR		276	12
ES360X		Fulton Street		276	12
ES361X		Fulton Street		276	1
ES362X		Fulton Street		276	0
ES363X		Fulton Street		276	16
ES365X		Fulton Street		276	34
ES366X		Fulton Street		276	1
ES376X	ES376X	Fulton St	Nassau Loop BMT	276	0

2016 3RD QUARTER EQUIPMENT MAINTAINED BY OUTSIDE ENTITIES OR THIRD PARTIES					
E&E Equip #	Original Equip #	Station Name:	Line	# of Inspections (07/01/16 to 09/30/16)	# Of Tours O-O-S
ES377X	ES377X	Fulton St	Nassau Loop BMT	276	0
ES378X	ES378X	Wall St	Clark Street	276	0
ES379X	ES379X	Wall St	Clark Street	276	1
ES380X		Cortlandt St	Broadway	276	0
ES383X		FULTON ST		276	69
ES432X	ES008X	Sutphin Blvd - Archer Av JFK	ARC	276	2
ES433X	ES009X	Sutphin Blvd - Archer Av JFK	ARC	276	0
ES457X		Court Square	Flushing	276	0
ES461X	ES461X	Court Square	Flushing	276	25
ES462X	ES462X	Court Square	Flushing	276	12
ES496X	ES1	Howard Beach - JFK Airport	Rockaway	276	3
ES497X	ES2	Howard Beach - JFK Airport	Rockaway	276	2
ES498X	ES3	Howard Beach - JFK Airport	Rockaway	276	0
ES499X	ES4	Howard Beach - JFK Airport	Rockaway	276	0
ES600X	ES1708X	Lexington Av - 53 St	Queens Blvd	276	28
ES606X		42nd St - Port Authority Bus Terminal	8th Avenue	276	18
ES607X		42nd St - Port Authority Bus Terminal	8th Avenue	276	33
ES608X		Grand Central - 42nd St	Lexington	276	0
ES609X		Grand Central - 42nd St	Lexington	276	0
ES610X		Grand Central - 42nd St	Lexington	276	0
84		GRAND TOTALS		23,184	1,084



Department of Law – Transit Adjudication Bureau

177 Livingston Street – 4th Floor
Brooklyn, NY 11201

**STANDARD FOLLOW-UP REPORTS: TRANSIT ADJUDICATION BUREAU
THIRD QUARTER 2016**

The following is a comparison of the key indicators for the third quarter of 2016 as compared to the same period in 2015:

- Summonses received in the third quarter decreased by 6.66% (from 38,610 in 2015 to 36,037 in 2016). However, the total amount of summonses received Y-T-D increased by 9.13%.
- TAB received 20,697 payments in 2016, a 2.48% decrease from the 21,223 received in 2015. Direct payments decreased by 0.63% (20,552 to 20,422) from the third quarter of 2015 and payments received from state tax refunds decreased 59.02% from 671 to 275.
- Overall total revenue for the third quarter totaled \$1,993,191, a 1.66% increase from the 2015 third quarter revenue of \$1,960,654. Receipts from direct payments increased by 2.08% to \$1,955,565 in 2016 as compared to \$1,915,766 in the third quarter of 2015. The \$27,114 in third quarter receipts from state tax refunds relating to outstanding judgments from prior years, represented a 55.50% decrease from third quarter state tax refunds of \$60,928 in 2015.
- Expenses increased by 8.90% (\$1,471,100 compared to \$1,601,964) from the third quarter of 2015.
- TAB revenue exceeded expenses by \$391,227 compared to \$489,554 for the third quarter of 2015.

For further information, see the Key Indicators Chart on the following page.

<http://www.mta.info/nyc/TransitAdjudicationBureau.html>

MTA NEW YORK CITY TRANSIT
TRANSIT ADJUDICATION BUREAU
KEY INDICATORS
THIRD QUARTER 2016

INDICATOR	3rd QTR 2016	3rd QTR 2015	ANNUAL TOTALS	
			Y-T-D 2016	Y-T-D 2015
ISSUANCE DATA				
Violations Received	36,037	38,610	113,627	104,121
PAYMENT DATA				
Number of Payments	20,697	21,223	71,462	68,753
Regular	20,422	20,552	65,663	61,309
State Tax Refund	275	671	5,799	7,444
Amount Paid	\$1,982,679	\$1,976,694	\$7,016,969	\$6,686,923
Regular	\$1,955,565	\$1,915,766	\$6,265,708	\$5,725,680
State Tax Refund	\$27,114	\$60,928	\$751,261	\$961,243
Average Payment	\$95.80	\$93.14	\$98.19	\$97.26
Yield per NOV	\$55.02	\$51.20	\$61.75	\$64.22
REVENUE/EXPENSE DATA				
Revenue	\$1,993,191	\$1,960,654	\$7,016,155	\$6,650,757
Expenses	\$1,601,964	\$1,471,100	\$5,076,013	\$4,579,834
ADJUDICATIONS				
Total Cases Adjudicated	6,266	6,659	18,647	18,422
Admin Dismissals	560	466	1,651	1,215
Hearings	5,706	6,193	16,996	17,207

N.B.: On April 30, 2016, the Transit Adjudication Bureau (TAB) transitioned to a new database system, TABIS, which replaced the prior vendor-supplied system. In connection with the transition, certain adjustments to data have been made to ensure comparability of data between pre- and post-transition periods. Specifically, for "Violations Received," the 2015 and 2016 issuance data required revision to reflect the number of violations received at TAB during the 3rd Quarter of 2015 (and YTD 2015, 2016) versus the date of offense recorded in the summons, as had been previously reported using the prior database.

MTACC MONTHLY PROJECT STATUS REPORTS:

- **7 LINE EXTENSION**
- **SECOND AVENUE SUBWAY**

7 Line Extension Active Construction Contracts

Report to the Transit Committee - November 2016

data thru October 2016; \$s in million

	Budget	Expenditures
Final Design	\$ 121.2	119.5
Construction	1,910.0	1,861.7
Construction Management	56.4	52.3
Subway Project Reserve	13.1	-
Total of HYDC-Funded Subway Work	\$ 2,100.8	\$ 2,033.5
HYDC-Funded Non-Subway Work [†]	266.0	247.9
Total of HYDC-Funded Subway and Non-Subway Work	\$ 2,366.8	\$ 2,281.4
MTA-Funded PE/EIS Work and Other	53.1	53.0
Total	\$ 2,419.9	\$ 2,334.5

	Schedule
Project Design Start	September-2002
Project Design Completion	March-2011
Project Construction Start	December-2007
Systems Testing and Integration Start	October-2013
Revenue Service Date	September-2015

Project Description	Budget (Bid + Contingency)	Current Contract (Bid + Approved AWOs)*	Remaining Contingency	Expenditures	Actual/ Forecast Award Date	Planned Completion at Award	Forecast Substantial Completion
Site P Secondary Station Entrance Core & Shell and Building Systems/Finishes^{††} <i>John P. Picone Inc.</i>	\$98.1	\$92.6	\$5.5	\$55.4	Sep-2012	Apr-2016	TBD

*Current Contract value includes forecast pending change orders, both debit and credit, still in approval process

** To accommodate Developer's work, the Contractor is working on a schedule, which may extend the completion of Site P.

† Non-subway work includes design, construction management, and construction tasks.

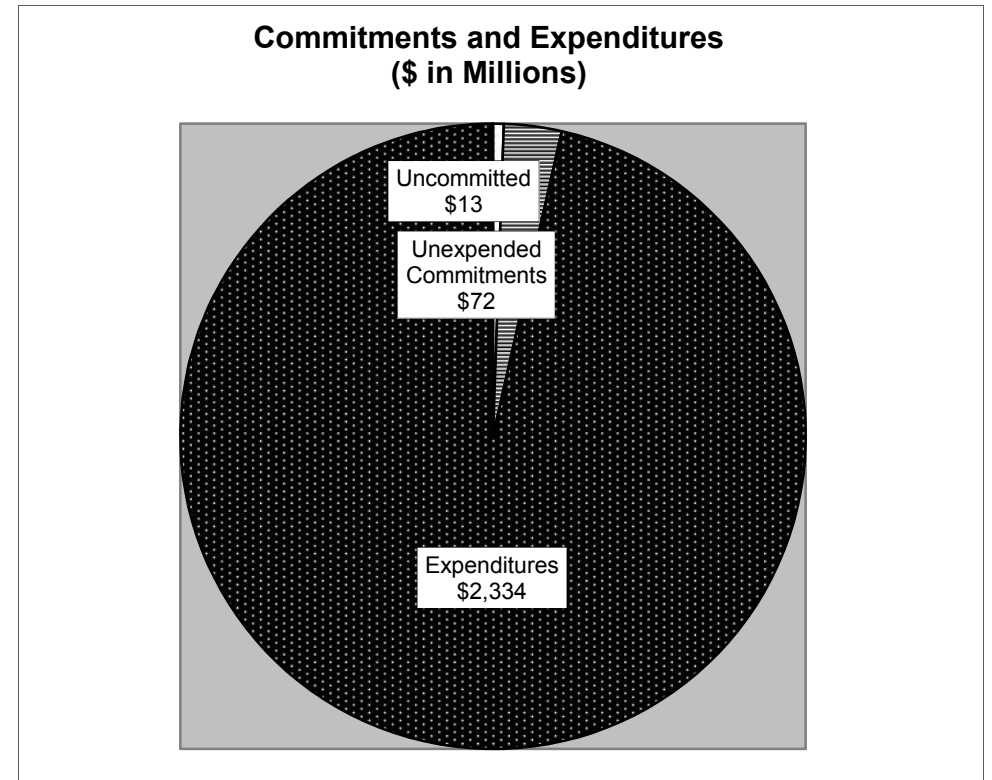
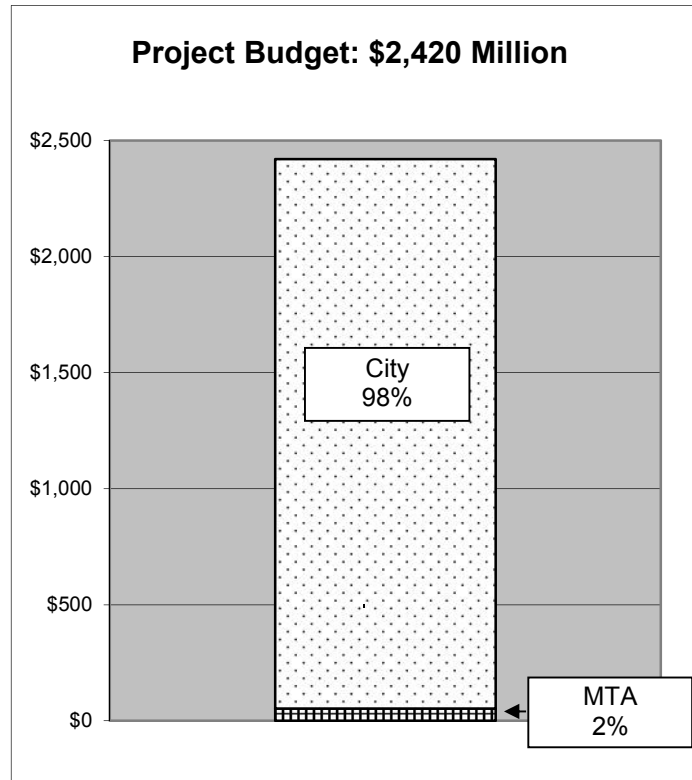
†† The scope of work in the Secondary Station Entrance Core & Shell and Building Systems/Finishes (Site P) contract package is not required for revenue service.

7 Line Extension Status

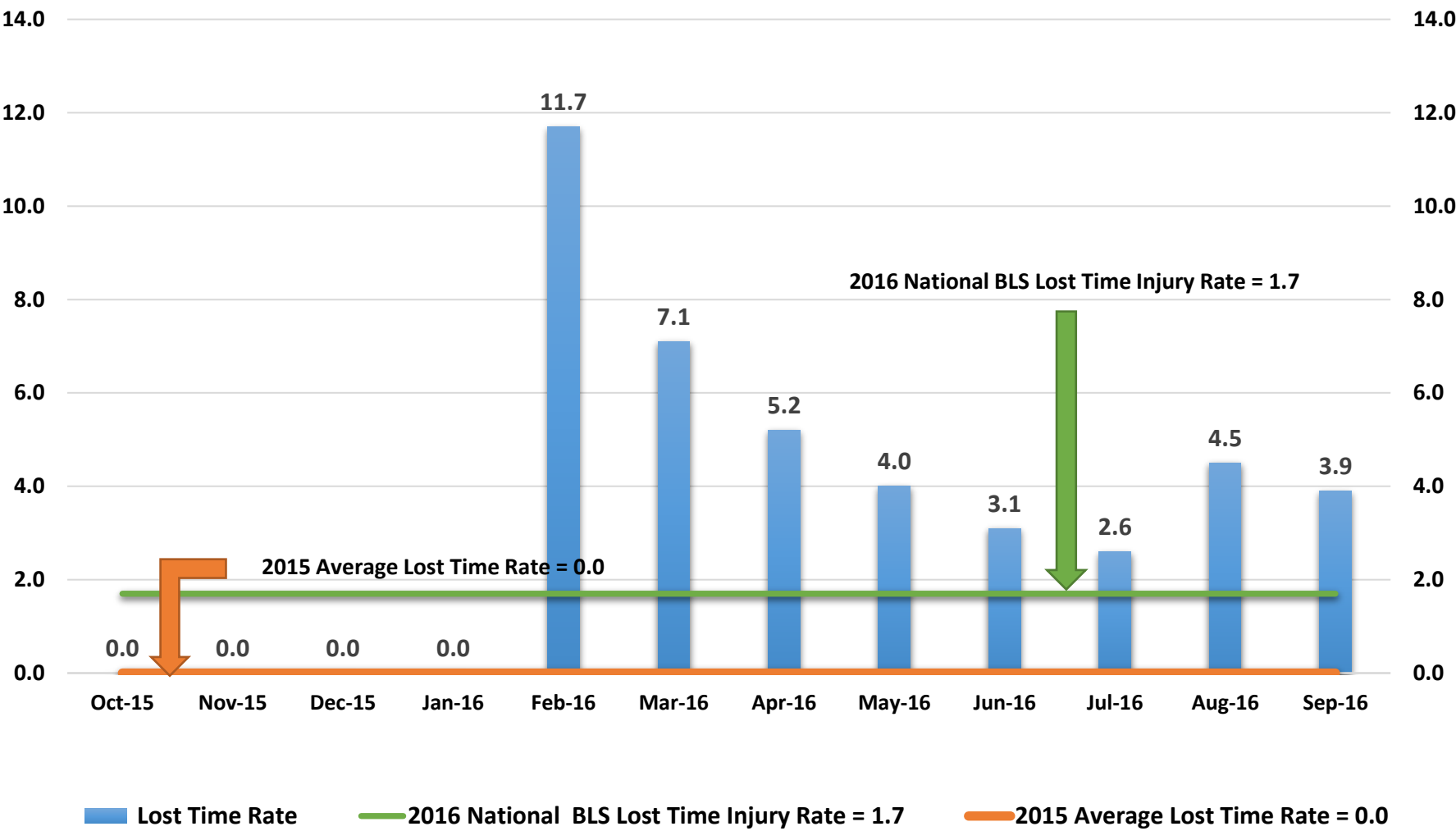
Report to the Transit Committee - November 2016
data thru October 2016

MTA Capital Program \$ in Millions	Funding Sources				Status of Commitments		
	Budgeted	MTA Funds*	City Funds	City Funds Received	Committed	Uncommitted	Expended
2000-2004	\$ 53	\$ 53	\$ -	\$ -	\$ 53	\$ 0	\$ 53
2005-2009	2,367	-	2,367	2,354	2,354	13	2,282
Total Authorized	\$ 2,420	\$ 53	\$ 2,367	\$ 2,354	\$ 2,407	\$ 13	\$ 2,334

* MTA funding was for preliminary engineering and environmental review work.



7 Line Annual Cumulative Profile of Lost Time Injury Rates



Second Ave Subway (Ph I) Active Construction Contracts

Report to the Transit Committee - November 2016

data thru October 2016; \$s in million

	Budget	Expenditures
Construction	\$ 3,379.5	\$ 3,102.4
Design	\$ 519.5	506.8
Construction Management	\$ 270.5	226.7
Real Estate	\$ 281.5	240.4
Total	\$ 4,451.0	\$ 4,076.3

	Schedule
Project Design Start	December-2001
Project Design Completion	February-2011
Project Construction Start	March-2007
Revenue Service Date	December-2016

Project Description	Budget (Bid + Contingency)	Current Contract (Bid + Approved + Pending AWOs)*	Remaining Contingency	Expenditures	Re-Baseline Award Date	Actual/ Forecast Award Date	Planned Completion at Award	Forecast Substantial Completion
63rd St Station Upgrade <i>Judlau Contracting</i>	\$209.0	\$209.0	\$0.0	\$202.5	Jul-2010	Jan-2011	May-2014	Dec-2016
Track, Signals, Power and Communications Systems <i>Comstock/Skanska, JV</i>	\$298.9	\$289.3	\$9.5	\$257.6	Mar-2011	Jan-2012	Aug-2016	Dec-2016
96th St Station Finishes <i>EE Cruz & Tully, JV</i>	\$386.0	\$386.0	\$0.0	\$355.4	Mar-2011	Jun-2012	Dec-2015	Dec-2016
72nd St Station Finishes <i>Judlau Contracting</i>	\$322.3	\$320.6	\$1.7	\$284.1	Nov-2012	Feb-2013	Nov-2015	Dec-2016
86th St Station Finishes <i>Schiavone - Picone, JV</i>	\$244.7	\$240.7	\$3.9	\$212.6	Oct-2013	Jun-2013	May-2016	Dec-2016

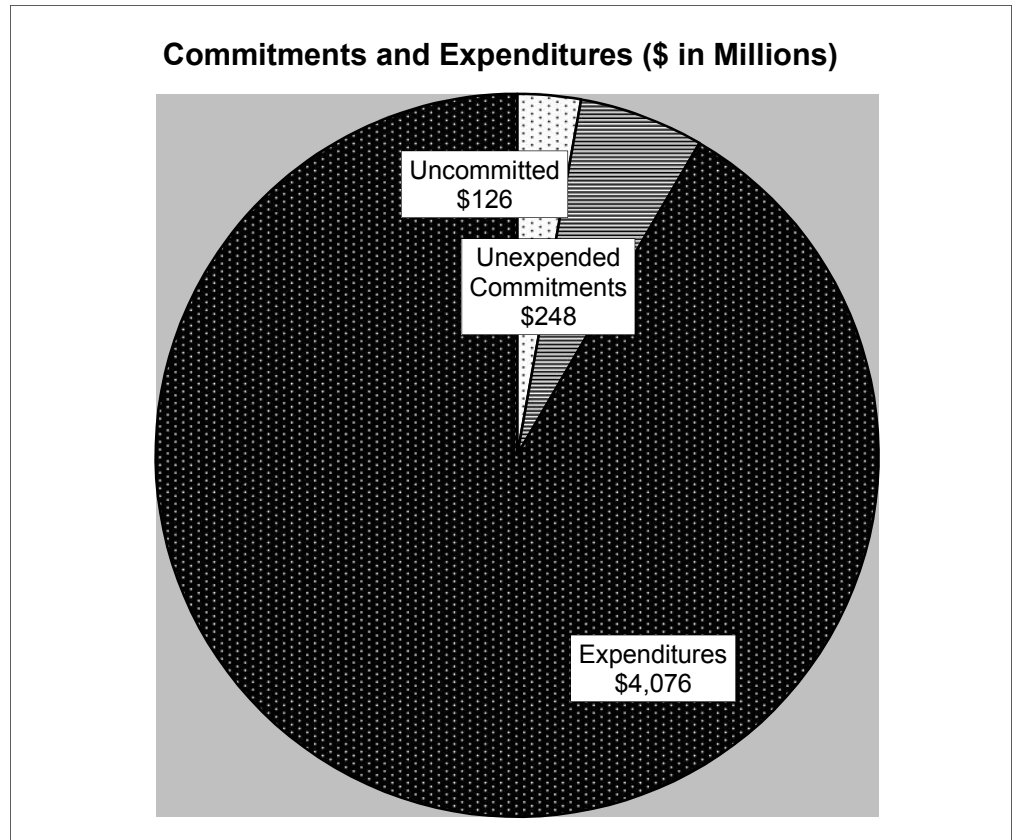
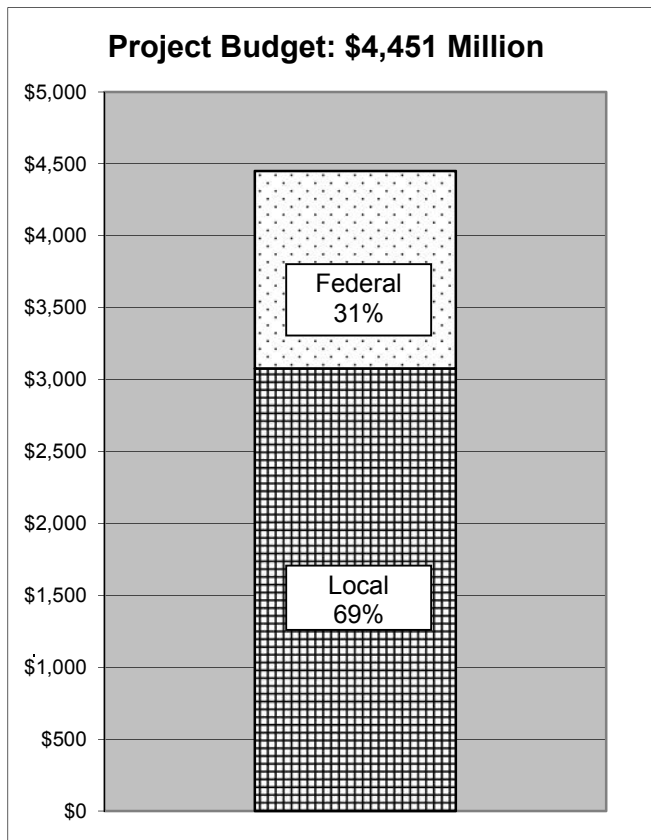
*Current Contract value includes forecast pending change orders, both debit and credit, still in approval process

Second Avenue Subway (Phase 1) Status

Report to the Transit Committee - November 2016

data thru October 2016

MTA Capital Program \$ in Millions	Budgeted	Funding Sources			Status of Commitments		
		Local Funding	Federal Funding	Federal Received	Committed	Uncommitted	Expended
2000-2004	\$ 1,050	\$ 724	\$ 326	\$ 326	\$ 1,049	\$ 1	\$ 1,044
2005-2009	1,914	866	1,048	1,048	1,883	31	1,787
2010-2014	1,487	1,487	-	-	1,393	94	1,245
Total	\$ 4,451	\$ 3,077	\$ 1,374	\$ 1,374	\$ 4,325	\$ 126	\$ 4,076



SAS Annual Cumulative Profile of Lost Time Injury Rates

